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ABSTRACT

Charged with examining "responsibility, authority, and decision making" within The George Washington University, Washington, D.C., the Commission first explored the impact of modernization on governance. Chapter I of its report discusses the topic and summarizes major recommendations. Chapter II deals with participation in the academic community and discusses the appropriate roles of students, faculty trustees, administrators, and others. Chapter III discusses self-discipline with relation to the student body and the faculty. Chapter IV contains guidelines for informal and formal channels of communication within the University. Chapter V describes the present status of the University's fiscal management and suggests changes in planning and programming functions. Appendix A details a proposed Office of Planning and Budget. (JS)

ED052715

The Governance of The George Washington University

REPORT OF THE COMMISSION
ON GOVERNANCE OF THE UNIVERSITY

May, 1971

HE002343

U.S. DEPARTMENT OF HEALTH,
EDUCATION & WELFARE
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FOREWORD

In January, 1970, President Lloyd H. Elliott appointed a Commission on Governance of the University, after the Board of Trustees had voted unanimous approval of his recommendation for "the establishment of a broadly representative (Commission) to examine responsibility, authority and decision making in the University." His letter of appointment describes the charge to the Commission as follows:

> "The duties of the Commission will be to examine responsibility, authority, and decision making in the University. This charge is intended to direct the Commission's thought to the governance of the institution—rather than to an extensive restudy of general goals or forecasts of the University's response to more general problems that may present themselves. The Commission is asked to make recommendations for such changes in our structure and practices of governance as it determines to be desirable and to reaffirm for guidance of the institution in the years ahead those practices which you find to be valid. In calling for this study, I believe it is important that George Washington make its own modest contribution to the body of knowledge and experience in institutional governance."

The membership of the Commission, as appointed, consisted of the following persons:

Everett H. Bellows *(Vice Chairman;* Alumnus, Trustee)
David R. Berz (Student, Vice President of the Student Assembly)
Sheldon S. Cohen (Alumnus)
John J. Corson *(Consultant)*
John B. Duncan (Trustee)
Shelley R. Green (Student, Secretary of the Student Assembly)
James J. Lyons (Graduate Student)
Dorothy A. Marks (Alumna)
James M. Mitchell *(Chairman;* Alumnus, Trustee)
Neil R. Portnow (Student, President of the Student Assembly)
David J. Sharpe (Professor of Law)
J. Dallas Shirley (President of the General Alumni Association)
Hiram M. Stout *(Vice Chairman;* Professor of International Affairs and Political Science)
Brian L. Usilaner (Graduate Student)
*Carl H. Walther *(Secretary;* Professor of Engineering and Applied Science)
Reuben E. Wood (Professor of Chemistry)
Artley J. Zuchelli (Professor of Physics)

*Ex officio member.

Messrs. Lyons, Portnow, and Sharpe resigned after the Commission had begun its work; Mr. James Kilpatrick, an undergraduate student, was appointed on October 14, 1970.

The Commission met for the first time on February 17, 1970. It was agreed at that time that the first phase of the Commission's work, that of fact-finding, should be assigned to four interviewing committees. Mr. Duncan, Mrs. Marks, Mr. Usilaner, and Dr. Wood served as committee chairmen.

The Commission held several meetings where the following described present policies and practices in their respective areas of responsibility:

Board of University Chaplains
Boris Bell, Director of the Cloyd Heck Marvin Center
Arthur E. Burns, Dean of the Graduate School of Arts and Sciences
John C. Einbinder, Business Manager
Frederick R. Houser, Registrar
William D. Johnson, Director of the Budget
Calvin D. Linton, Dean of Columbian College of Arts and Sciences
Marianne Phelps, Dean of Students
Joseph Y. Ruth, Director of Admissions
Paul R. Sherburne, Associate Dean of Students
William P. Smith, Vice President for Student Affairs

Other key administrative officers were consulted by the interviewing committees. In addition, the full Commission met twice with the President and once with the Provost of the University.

Analysis of these interviews disclosed issues in four general categories; it was accordingly agreed to assign their further exploration to four Task Groups: Participation, Self-discipline, Fiscal Management, and Communications. Dr. Corson, Mr. Berz, Mr. Usilaner, and Mr. Bellows, respectively, served as Task Force chairmen. Several members of the Commission served on each Task Force.

Then each Task Force interviewed a sizable sample of faculty, students, and administrative personnel who were asked to state frankly their criticisms and proposals for improving University governance. Many suggestions were made for improvements, not only in governance but in current practices. The latter suggestions have been submitted in a separate confidential memorandum to the President.

Four open meetings were then conducted, to which wide publicity was given throughout the University community, in order to obtain constructive criticism of the first drafts of each of the four Task Force reports. Although attendance at these meetings was not large, many constructive suggestions were made, and a number of them were incorporated in the revised reports.

The three trustee members of the Commission then met with the Chairman and Vice Chairman of the Board of Trustees and the President for a discussion of the tentative findings and recommendations of the Commission. Finally, the draft report was again reviewed by all members of the Commission. All members of the Commission are in substantial agreement with the Report, although individual commissioners may not agree fully with every specific proposal.

It is especially appropriate that this Report on the Governance of The George Washington University should have been completed during the sesquicentennial year of the University.

James M. Mitchell
Chairman

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CHAPTER I

MODERNIZATION: ITS IMPACT ON GOVERNANCE

The private universities are in a time of crisis. In few periods of our history have the institutions of society experienced more sweeping or more rapid changes than in our own. Thus all social organizations are being subjected to searching reexamination of their historic roles. In the United States a conflict between deeply ingrained confidence in the worth of education and a new questioning of the value of its traditional purposes, structures, programs, and procedures is not yet resolved.

Perhaps partly as a result of that loss of confidence, a decline in support of higher education is beginning to be apparent. At the same time enrollment in public institutions is increasing, and new community and junior colleges are springing up almost daily. Yet enrollment in private institutions of higher education is continuing to decline–both as a percentage of total enrollment and in actual numbers. There is mounting evidence that high tuition fees are a major cause of this decline. It may well be that possible future increases in tuition will be self-defeating. As a result of the squeeze between increasing costs of education and fixed or decreasing income, many private institutions are contemplating the necessity of diminishing the quality or the extent of their programs.

The challenge–the invitation to competition–thus presented to the private universities, George Washington included, is clear even if unwelcome. In order to survive they must find ways to offer modern and relevant educational programs of high quality to their clients in addition to those other advantages traditionally claimed for private education. We believe that George Washington University can indeed survive and even grow in strength if it demonstrates the courage to meet that challenge by moving to reform some of its structures and practices.

SCOPE

The Commission was charged "to examine and make recommendations on the governance of this institution." A further element of its charge was "to examine responsibility, authority, and decision making in the University." Combining this latter instruction with the question "How should our University be governed, to achieve those conditions of teaching and learning that hold the greatest promise for the pursuit of truth?" led the Commission at an early stage to focus attention on the processes whereby decisions are made in the University. The decision-making process appears to be central to the entire process of governance. Focusing on it eliminated the necessity for the Commission to consider what may be desirable in the way of goals or resources. All of these (although they are important and attractive subjects for debate) can be decided in the appropriate context once the structure and the processes of decision making have been rationalized.

Stated in concrete terms, the objective of the Commission then became to define a structure and procedures by which all components of the University which should exert an influence on policy may have the most effective inputs to the process of decision making. The Commission therefore sought to perceive fresh options for

restructuring and reforming the decision-making mechanism with this general purpose in mind. And, as we see it, the task is essentially one of providing for modernization.

The task of the Commission is larger than that of redefining or affirming the participation that students, faculty members, administrators, trustees, and alumni should have in the governance of George Washington University. Assuredly that task is larger than that of making improvements in the University's budgeting, planning, and communications processes. And it is larger than the task of evaluating ways by which responsibilities and standards of conduct are defined and prescribed, and the mechanisms by which violations are judged and reviewed. The task is to aid in modernizing the structure and processes of an institution which has grown and changed.

GROWTH AND CHANGE

The growth is apparent. Between 1960 and 1970, the enrollment has increased 47 per cent; the total enrollment in all schools for the year 1960-1961 was 10,183, and for the school year 1970-1971 the enrollment exceeds 15,000. The faculty included 311 full-time members during the school year 1960-1961; it includes 719 full-time members in 1970-1971.[1] The annual operating budget has grown from $18 million at the start of this decade to $72 million for the current school year.

More important, the function of the University has broadened. During the quarter of a century that has elapsed since the close of World War II, George Washington University, like other universities–public and private–has substantially expanded its research activities and the range of services it performs for the community and the society that supports it. Research is no longer a side-line effort carried on when time permits by the more curious and more enterprising members of the faculty; research is a substantial and an organized activity that represents 17 per cent of the University's annual budget. And like other universities, particularly those located in urban centers, this University had been called upon to render an increasing array of services other than the teaching of enrolled students. The Medical Center, for example, is taking a major step in health care with its Group Practice Plan and Community Care Center; the Law Center has its Consumer Protection Center and Legal Aid programs; the School of Engineering and Applied Science is undertaking a major program of continuing engineering education.

The extension of George Washington's function (and the extension of the function of every university) has been induced by forces that have markedly altered American society, even as they have markedly changed the University. The marked growth of this country's population, particularly its youth population, coupled with a growing affluence in most of society, underlie increased enrollments. Urbanization has aggravated this pressure for enrollment and has made acute the

[1] In addition to the full-time faculty, George Washington University now employs 1,115 part-time faculty members and 230 teaching assistants.

problem of providing classroom and dormitory space. Technological advance has been at the root of demand that the university assume more and more research responsibilities and has intensified the demand for graduate and professional education: the graduate and professional schools at George Washington enrolled 3,911 in 1960-1961; they enroll about 7,000 in the current school year.

IMPACT OF SOCIAL FORCES

But the confusion and disruption that universities have experienced in recent years is attributable to still other social forces that are wracking American society. Antipathy toward the Vietnam war has had an obvious impact. Rising racial tensions have had their effect. The increasing importance of higher education in a society which makes entry into many jobs contingent upon possession of a degree has made the university a public utility, an institution rendering a service essential to many or most young people. And the emergence of a youth culture which challenges the values, the wisdom, the experience, and the authority of those who are older[2] has demanded alteration of admission practices, curricula, financing arrangements, and the ways in which decisions are made on many facets of this University's life.

SUMMARY OF MAJOR RECOMMENDATIONS

The ensuing chapters reflect the nature of participation in decision making which we feel should prevail at George Washington University and explore the major factors that would sustain such participation in an effective and responsible manner. The summary of recommendations here presented includes only those of new and in a sense dramatic character. In fact, many current practices and policies already in existence in the University, many of which have been initiated in the past five years, predispose toward the success of the greater and more deeply involved participation in decision making which the Commission proposes.

1. Further efforts should be made to establish and to utilize, imaginatively and aggressively, the Departmental Advisory Committees and the School or College Advisory Councils.
2. At least two students should be named to each of the committees of the Board of Trustees other than those that deal with faculty salaries and matters requiring especially confidential handling.
3. At least two members of the faculty should be named to all committees of the Board of Trustees, except the Executive Committee.

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[2] For a summary description of what is meant by the much-discussed "youth culture" see *The Report of the President's* (Scranton) *Commission on Campus Unrest.* For a fuller and authoritative analysis of this development see Kenneth Keniston, *The Uncommitted, Alienated Youth in American Society* (Dell Publishing Co., 1967); and Charles Reich, *The Greening of America* (Dodd Mead & Co., 1970).

4. The Commission is not recommending voting membership of students or faculty members on the Board at the present time. However, the Commission recognizes as an anachronism the exclusion of faculty members from such service, and recommends that the Board of Trustees seek to remove this exclusion from the Charter.
5. The Board of Trustees should limit the terms of service of its members to two successive terms, with the proviso that after a member has been off the Board for a year he could be reelected.
6. An All-University Assembly (composed of individual trustees, administrative officers, faculty members, students, alumni, and public members) should be established to discuss at regular intervals matters of interest to any constituency within the University, and regularly to report to and advise the trustees and the President.
7. An agency of student government should be reconstituted to provide a means to formulate and reflect student opinion.
8. The Board of Trustees should establish the practice of comprehensively reviewing the performance of the President, and reelecting or replacing him every five to seven years, as determined by the Board, or at such times as the President may request.
9. Deans and department chairmen should be appointed to serve for limited terms, with the possibility of renewal.
10. A comprehensive review of rules and regulations governing student conduct should be undertaken and such revised rules and regulations given adequate publication.
11. The Faculty Senate should take the lead in broadly based studies and discussion leading to the formulation of a code of conduct dealing with rights and responsibilities of the faculty and others in more detail than is presently furnished by the *Faculty Code and Ordinances.*
12. Careful and continued attention should be directed to improving the quality and increasing the availability of academic advising, particularly for undergraduate students.
13. An office of university ombudsman, if experimental efforts prove successful, should be established outside of the hierarchy of administration.
14. A standing Committee on University Relations should be appointed by the President, charged with the responsibility for determining what audiences the University should reach with its publications, for what purpose and with what means.
15. The University should make every effort to hasten the implementation of a complete program-budgeting cycle, including the establishment of an Office of Planning and Budget and the appointment of a Director for that office, at an early date.

CHAPTER II

PARTICIPATION IN THE ACADEMIC COMMUNITY

A central obstacle to the development of ways of modernizing the structure and processes of The George Washington University (and other universities) *is a historically bred misunderstanding as to the real nature of the structure of the university, its organization, and the centers of power.* This University, like most American universities, inherited a formal organization founded on the concept of hierarchy. A governing board at the top, according to the University's charter, holds all power and bears all responsibility. It delegates authority to a president to direct and supervise all activities. The president, in turn, delegates authority to deans, department chairmen, and administrative officers.

The organization that obtains, in fact, within this University differs markedly from what the charter prescribes. The prevailing informal organization reflects the reality that all power within the University is *not* centered, in fact, in the Board of Trustees to be delegated or reclaimed as the Board decides.[1] In real life, decisions as to student life, educational program, research activities, or admissions *are not,* and probably *cannot,* be made by the trustees unless the proposal was originated by or is concurred in by one or more of the constituencies.

In fact, at least four other constituencies, within (and without) the University–the students, the faculty, the administration, and the Federal government–hold some power over important processes of the University.[2] They hold power because of the essentiality of their collaboration, because of the expertise they possess, or the resources and support they contribute. Thus a structure is needed that will most effectively enlist the energies of trustees, administrators, faculty members, students, and alumni in a progressive and collaborative effort to manage this institution even while its functions expand and its operations are beset by external forces.

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[1] The difference between the formally prescribed structure of the University and the structure that actually prevails was recognized in the following assumptions that the Commission approved in March, 1970, as a part of its approach to its study of the University's governance:

a) A contemporary university is an organic, living community whose goals, interests, and resources will change over time;
b) A contemporary university has as its constituents faculty, students, administration, trustees, alumni–who have immediate and legitimate participating roles in the life of that community;
c) In the light of assumptions (a) and (b) above, a proper system of governance must be one which facilitates the periodic redefinition of goals and marshaling of resources to meet such goals; it must also insure the participation of constitutents when their legitimate concerns are involved.

[2] Obviously the most notable illustrations are the power of the faculty to select its own members, to define the curriculum, and to establish degree requirements.

PRINCIPLES FOR MODERNIZATION

Our study of the foregoing forces–those operating within the University and those operating within the society that impinge upon this University–suggests four principles which should, we believe, guide the strengthening and improvement of the ways in which this University is governed:

1. The maintenance of an environment in which learning can be progressively pursued at the University requires the development of an effectively functioning "academic community," as distinguished from a hierarchial organization.[3]

2. It requires such a structure, as does every organization in which power flows from more than a single source at the top (e.g., a government in which power flows simultaneously from legislative, executive, and judicial branches), in order to mobilize the support of each constituency and to coordinate the activities of its several parts. Such a structure varies from the conventional hierarchial organization primarily in that the officers (the trustees, president, vice presidents, deans, and department chairmen of a university or the legislators, president, department and bureau heads in a government) achieve their ends primarily by the engineering of consent rather than command.

3. The recurring achievement of the consensus that is involved in the management of a university requires that the power each constituency shall have will depend upon the interest and the competence its members have with respect to the issue to be decided or the problem to be resolved. According to this principle, the several constituencies should properly have varying degrees of influence and responsibility, depending on the nature of the issue to be decided or the problem at hand. In some cases either the interest or the competence of a particular constituency may be slight; in others both interest and competence may be of a high order, and should be weighed accordingly. But certainly any decisions that have to be made will likely be better if full consideration is given to all pertinent interests and points of view.

4. At the least, each constituency shall be given the opportunity to be heard when decisions that intimately affect it are being made.

To give meaning to these four principles in the operation of this University requires demonstration as to how, and to what extent, trustees, administrators, faculty members, students, and alumni will be involved in the making of decisions

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[3] The ideal of "community" versus "hierarchy" was well stated by John D. Millett in *The Academic Community* (McGraw-Hill, 1962). He states there (p. 235) that "the concept of community" implies that the parts of an enterprise are *not* coordinated "through a structure of superordination and subordination of persons and groups but through a dynamic of consensus."

that guide the University's principal and continuing operational processes. These separate (or separable) processes are:

1. The student-oriented processes, i.e., the recruitment and admission of students, their living arrangements, and their extracurricular activities.

2. The educational process, i.e., the determination of who shall teach, what shall be taught (e.g., special programs for minority group members), and what shall be required to earn a degree.

3. The research and service processes, i.e., the determination of what research will be carried on (e.g., research to develop more lethal means of biological warfare, to discover the causes of heart disease) by faculty members, and what nonteaching services shall be provided?

4. The financial processes, i.e., the preparation of an annual budget, the determination of what tuition and fees shall be charged to enrollees, how endowments shall be invested, and how various activities can be financed.

5. The managerial process, i.e., the continual overseeing of the faculty needs of all schools, the formulation of University policy, the selection of officers and trustees, the establishment of business policies, and the fixing of personnel policies to govern the University's dealings with its nonacademic workers.

The processes involved in the functioning of the University could be stated in other and fuller terms. This summary, five-fold description will suffice to provide a framework within which the degree of participation that each constituency should have in the making of decisions can be considered.

STUDENT PARTICIPATION

Earl McGrath has stated that students should be involved in university decision making because many or most decisions affect them.[4] Then he adds that students believe that if education is of fateful significance to them, they should have a voice in its character and quality; students today have stronger social and educational motivation and could play a fruitful and facilitative role in educational reform; participation in governance is preparation for responsible citizenship in the larger society; students have asserted control over their personal conduct; and students can play a unique role in the improvement of institutions.

The University's Board of Trustees effectively accepted the validity of such reasoning when it approved, in early August, 1970, the *Statement of Student Rights and Responsibilities.* This statement had been developed collaboratively by students, faculty members, and administrators. It provides the following:

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[4] *Should Students Share the Power?* (Philadelphia: Temple University Press, 1970), pp. 51-60.

> "The University is a community of scholars engaged in the search for knowledge. Students, faculty, and administrators participate in this search. In light of this, the student body shall have clearly defined means, including membership on appropriate committees and administrative bodies, to participate in the formulation and application of institutional policy affecting student affairs. The concern of students, however, legitimately extends beyond what has normally been considered student affairs. Their interest in academic policies, for example, is a development to be encouraged bearing in mind the teaching-learning context of the University community."

What is provided for: In conformity with this "Statement" (and in advance of its adoption) students were granted substantial power over the operation of the Marvin Center, freedom in the management of all student publications, and the major say in decisions relative to student life and religious life on the campus. Indeed, in decisions on matters affecting the students' social rather than educational life, they have effective control.

Their views as to University recruitment and admissions policies have been listened to and seemingly have been heeded. Their participation through school and departmental advisory councils in decisions concerning academic policy has been authorized, and testimony presented before the Commission suggests that student views have had some influence on decisions as to what courses are offered; their persistent demand for increasing relevance of course content has not gone unheeded. Student evaluations of the effectiveness of individual teachers have been promulgated and have exercised some indeterminable influence. Student representatives serve on the administrative standing Committees on Sponsored Research, the Judicial System, the Educational Opportunity Program, Parking, Bookstore, Student Relationships, etc., and regularly meet with the Faculty Senate. But in these forums their ability to present persuasively proposals for academic reform or research policy has not been proven.

In matters of academic discipline, a student charged with academic dishonesty has the right to have a student appointed to participate fully in the deliberations of the Dean's Council which judges his case. The recently adopted judicial system for nonacademic student discipline provides for broadly based student participation at multiple levels of initial hearing and appeal; it states sanctions that may be imposed and prescribes safeguards and fair procedures.

Conversely, in decision making on (a) service questions (e.g., the development by the School of Medicine of a prepayment community health care program); (b) financial matters (e.g., budgeting and the investment of University funds); and (c) staff employment relations matters there is as yet little evidence of student concern or of promise that students can bring competence to the making of decisions on such matters. Nevertheless, maintenance of the communications that provide the essential social cement that holds the community together argues for the inclusion of representative students on advisory committees that counsel with administrative officers on such matters.

What should be provided for: If a true "community" is to be developed (and incidentally if increased assurance is to be had that order will be maintained), then even more comprehensive participation by thoughtful and considerate student representatives should be developed. Adoption of the *Statement of Student Rights and Responsibilities* made explicit recognition of students' legitimate interest in and concern with all aspects of University decision making. That recognition has been implemented by the inclusion of students on all or most relevant administrative committees. To fully implement this recognition requires provision for more effective student participation in academic policy making.

The aspects of academic policy that have the greatest impact on students are those related most directly to instruction: matters of student advising, of courses and curricula, of evaluation of student performance, and of teaching performance. In the continuing or periodic review that is involved in keeping the University's offerings and performance up to date, student input has considerable value. Students can furnish useful insights on course content, the addition or deletion of courses, and new curricula or programs;and their advice has, indeed, been sought on an informal basis. Provision of a formal mechanism for their effective participation, with faculty and others, in decisions on such issues would strengthen the formulation of academic policy.

The mechanisms for making such participation effective in this University have been devised: the Departmental Advisory Committees and the School or College Advisory Councils. As yet, however, some departments have not yet established advisory committees; there is, in addition, little evidence of activity on the part of most School or College Advisory Councils, or of those Departmental Advisory Committees that have formal existence. The Commission believes that these representative bodies, functioning as they do at the level "where the action is," offer the best available means of developing educational policy that reflects the very best of which faculty, students, alumni, trustees, and administrators are capable. We recommend that further efforts be made to establish and to utilize, imaginatively and aggressively, these councils and departmental committees.

The operation of the new judicial system should be carefully monitored to insure that changes suggested by developing experience are put into effect as the need becomes apparent. The leading role, in this connection, will be played by the permanent Committee on the Judicial System, which has equal numbers of students and faculty members. And administrative support, in the form of staff, publications, etc., will be needed. But most important will be thoughtful and public-spirited participation by the student body and faculty—whether as members of the necessary hearing bodies and committees or simply as concerned well-wishers and supporters of the concept of self-discipline. As is the case in the larger society, the success of any judicial system depends on general public support of, and willingness to abide by, the provisions of the code of conduct.

In a university, the educational decisions that most vitally shape the institution are those that determine what students shall be admitted, who shall teach, what

shall be taught, what requirements shall be met by candidates for degrees, and what research shall be done. Nominally, the trustees are responsible for judgements on all of these issues, although in fact their responsibility is generally delegated to others. Today, however, trustees have an additional responsibility: to interpret and explain their institution to the larger society and at the same time to reflect within the university the needs and views of that larger community. To be effective in this role, trustees must be familiar with the institution they oversee and will increasingly be forced to consider questions of the relevance of its educational programs to the perceived needs of the society.

In order that trustees may be better informed concerning the instructional and related activites of the University, there should be an effective arrangement for bringing the thinking of students to the Board of Trustees. This suggestion is not intended to placate students or to compromise with any particular group. Rather its object is to insure the transmission of information and the development of mutual respect and understanding. The desired end could be accomplished by naming students to full-fledged membership on the Board of Trustees. Or it can be accomplished by naming students to each of the trustee committees other than those that deal with faculty salaries and matters requiring especially confidential handling. Considering the main objective, and recognizing the serious practical difficulties of representative election, transience of the student population, commitment of time, etc., the Commission believes the second of these alternative courses to be superior for a large and complex university such as ours. We therefore recommend that students be named to each of the committees of the Board of Trustees other than those that deal with faculty salaries and matters requiring especially confidential handling. We further recommend that the Board committee responsible for nominating trustees be encouraged to consider students for nomination in the usual manner.

One additional organizational mechanism is needed to make student participation effective. The abandonment in 1970 of the student government structure that did exist has left the student body without any means for formulating student opinion, for developing a student point of view on issues coming up for decision, and for instructing or informing the student body's representatives. In summary, there is need for a student caucus. We do not believe it is within the provision of this Commission to prescribe the form that caucus should take. We recommend, however, that the student body assess this need and develop arrangements that will meet it.

FACULTY PARTICIPATION

What is provided for: In this University the formal organization and informal arrangements for faculty participation in the governance of the institution are relatively well developed. A *Faculty Organization Plan* specifies certain powers, duties, and privileges of the Faculty Assembly and the Faculty Senate, exercised in

conformity with the charter of the University and subject to the authority of its Board of Trustees. The faculties of the several schools and colleges function by means of committees, which often include appropriate students or administrative officers in their memberhip. Some formal provision is made for general faculty representation directly to the trustees; the Chairman of the Executive Committee of the Senate, together with the head of the student body and the President of the General Alumni Association, attends the meetings of the Board of Trustees. In addition, faculty members are named to certain committees of the Board.

While this system appears to work satisfactorily, there are convincing arguments for increasing the exposure of trustees to faculty thinking and providing for better utilization of faculty competences by the Board of Trustees. An incidental benefit would result from the consequent broadening of faculty perspectives in regard to responsibilities which comprehend the entire scope of the University's activities.

What should be provided for: The faculty as a whole, and as individuals, has an especial interest in and competence to deal with educational and research issues. But as the University becomes increasingly involved in the affairs of society (e.g., the provision of health care for the community) and bears the impact of both social and technological developments within that society (e.g., the impact of the Vietnam war, the rise of racial tensions, and the myriad applications of the computer), decisions as to the University's public relations, its financial needs, and its physical needs become increasingly intermixed. The organizational concept that trustees can make decisions as to the latter issues while the faculty will be concerned with educational, research, and student affairs issues becomes less and less valid.

We believe that individual faculty members have competences to bring to, and a natural interest in, many of the major decisions that the Board of Trustees are being called upon to make (e.g., the establishment of programs for minority-group students). Simultaneously, we believe that the trustees must be expected to concern themselves more with the substance and the quality of the educational, research, and service programs the University offers than has traditionally been the case. The role of the trustees involves more than the raising of monies and the management of real estate. Not only are the trustees the guardians of the University's resources, they are the spokesmen for the society from which the University seeks more and more support.

The central role of the faculty in all activities of the University means that members of the faculty in varying degrees possess needed understanding of the increasing array of issues requiring decisions by the trustees. That understanding can be made available by (a) electing especially qualified individuals to the Board of Trustees, or (b) including members of the faculty on all committees of the Board. Step (a) is now prohibited by a provision of the University's charter. That provision is, in our opinion, both illogical and undesirable, for it impedes access to a reserve of talent and may thus introduce an unnecessary constraint on the University's ability

to deal with problems that are conceivable although perhaps not now foreseen. We recommend that the Board of Trustees seek to eliminate it.

We believe, however, that faculty participation can be adequately and most appropriately provided for by membership on all committees of the Board except the Executive Committee. Our reason for this view issues from our concept of the role of the Board of Trustees in the governance of the University. That role is to act as the guardian of the interests of the larger society which chartered the University. Through the Congress the governing board was given by charter the privilege of establishing and maintaining the institution, and the responsibility as well for holding the *public* trust. It is on that basis that the University enjoys such privileges as tax exemption, the services and protection of the governments around it, and the inflow of public funds. This view of the governing board which sees it as being the guardian of the public interest as well as being entrusted with the care and nurture of the institution brings to the surface the Board's responsibility for holding all in the institution–president, students, faculty, and nonacademic employees–accountable for work and service which is truly in the overall public interest.

The view of what constitutes appropriate educational activities may be quite different, when seen from the viewpoint of the guardian of the public interest, from that perceived by a member of any of the internal constituencies of the University. It would seem to follow, therefore, that the trustees should remain a "half-step removed" from the daily operations of the institution, in order that they may be as objective as possible in assessing the performance of those who work, teach, and study in the University. It then follows that administrators, students, and faculty or other employees cannot serve on the governing board without presenting a conflict of interest between that which is self-interest and that which is public interest.

This argument is persuasive to the Commission; it represents the view of the responsibilities of trusteeship that is currently held by most writers on the subject. Nevertheless, the conditions surrounding private universities are changing so rapidly that it is only prudent for this University to guard itself against unnecessary rigidities that may inhibit its capacity to innovate, to meet challenges from unexpected directions. We therefore believe that the Board of Trustees should provide the capability for flexible response to pressures that we cannot now foresee. According to this view it should be free to name anyone–students, faculty, or administrators–to its membership if it should see fit to do so at some time in the future.

The Commission therefore recommends that at least two members of the faculty be appointed to each of the committees of the Board of Trustees, except the Executive Committee. We are not recommending voting membership of students or faculty members on the Board at the present time. However, we recognize the provision excluding faculty members from such service to be an anachronism, and recommend that the Board of Trustees seek to remove this provision from the charter.

The Commission regards this position as consistent with the general philosophy of this report, which recommends modernization of the University's governance so that it may meet the challenges of the future with greater flexibility.

In addition, we recommend that the Board of Trustees make a positive effort regularly to maximize its exposure to faculty members (as distinguished from department chairmen and the deans of schools), so that it may be currently and generally informed of the state of their opinion. At other institutions (e.g., Emory, Princeton), trustees meet monthly for dinner with groups from the faculty. This practice illustrates what can and should be done here.

PARTICIPATION OF TRUSTEES

Broadly defined Role of Trustees: The charter of 1821, Columbian College (Section 2) declares that this predecessor college "shall be under the management, direction and government of a number of Trustees. . . ." A subsequent act enacted by the Congress on March 18, 1898, reaffirmed this statement of the authority of the trustees and specified that the trustees shall have "authority to appoint and remove any and all officers, professors . . . adopt and change by-laws for the conduct of the business and educational work of said University . . . may create and establish schools and departments to be connected with and become a part of said University; they may receive, invest and administer endowments and gifts of money and property . . . and they shall have all the powers and authority heretofore granted to and vested in the Trustees and Overseers of said University."

These definitions of the trustees' role and authority are reaffirmed in the By-Laws of the Board of Trustees (as revised March 31, 1968). Section 1 declares, "The government and general educational management of The George Washington University shall be vested in a Board of Trustees, with the President of the University an ex-officio member."

More narrowly defined Role in Practice: These comprehensive definitions of the responsibilities of the trustees, as in most other institutions of higher learning in the United States, differ markedly from the range of issues considered and decisions made by the trustees in practice. A review of the minutes of trustees' meetings reflects a concentration of attention on financial, physical construction, and public relations issues.

In the functioning of an educational institution, the decisions that vitally affect the character and quality of the institution are those that determine what students shall be admitted, who shall teach, what shall be taught, what requirements shall be met by candidates for degrees, and what research shall be done. Nominally, the trustees are responsible for decisions as to each of these elements of the university's

operations. Realistically they have little to do with any of such decisions, and such influence as they do exercise is exercised indirectly through their influence over finance.[5]

IMPROVING EFFECTIVENESS OF THE BOARD

Most of the trustees have shown interest in the University's problems by usually being present at Board meetings, serving on Board committees as requested, and attending Commencement exercises. Some trustees, however, have been unable to participate in a more than nominal way in Board activities.

The Commission believes that the Board has an increasingly important role to play in the governance of the University. As this role grows, it is important that all trustees have the interest and can take the time to serve the University. We feel, therefore, that the present practice of semi-automatic reelection to the Board when a trustee's three-year term expires is a mistake. We recommend, therefore, that the Board should limit the terms of its members to two in succession. After a trustee has been off the Board for a year, he could be reelected. Such a policy would make it possible for the least active trustees to step aside gracefully, and for the trustees who have the time and the interest in the University to serve, with brief interruptions, until they reach emeritus status.

Another way to improve the effectiveness of the Board would be to provide for an appraisal of its work at the same time that the accreditation of the University is being reviewed by outside examiners. Whether the Board has met the objective of playing a major role in the University community, as recommended in this Report, should be evaluated by a special committee appointed by the Chairman of the Board, consisting of several trustees and several outstanding persons in the educational world from outside the University community.

The trustees would also be better equipped to meet today's obligations by making other changes which are largely organizational. Responsibility for integrally related activities has been divided between the trustees and the faculty. The two have performed their duties in effective isolation from one another. Ideally, however, the trustees' role and responsibilities must be broader: "Trustees," the President's Commission on Campus Unrest has recently reported, "occupy a critical position between their institutions and alumni, politicians and the public. This position is especially difficult and important today, when public anxiety threatens the integrity of the university, and when the convictions of university members often run counter to those of many members of the general public."

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[5] This assertion is not a criticism of the trustees of George Washington University. It is applicable to the functioning of the trustees of most American universities. As the functions of universities have been broadened, as the demand for higher education has increased markedly, and as that demand has been paralleled by increasing unrest on the campus, their trustees have been insufficiently informed concerning the substantive, as distinguished from the financial, functioning of the institutions to cope effectively with the issues that were raised.

They have, in such times, especial responsibilities, the Commission added, "to interpret and explain their institutions to the larger society, to defend academic freedom and the right of students, teachers, and guest speakers to espouse unpopular views, to assure that their university maintains its central commitments to teaching, to research, and to the preservation of academic freedom against internal erosion."

"To be effective in these roles, trustees must be familiar with the institution they oversee and with the concerns of its constituents."[6] (Italics supplied)

To equip the trustees of the University to be effective in these roles in the environment within which the University now functions, organizational means must be found to bring them into repeated contact with students, faculty members, and administrators (deans and department chairmen, in addition to the President and vice presidents). Two changes are proposed to provide the needful flow of information:

Committees of the Board of Trustees: First, members of the faculty and students could be included as members of all committees of the Board of Trustees other than the Executive Committee or others dealing with especially confidential matters. We have already indicated our belief that this action is desirable. It is susceptible to immediate implementation, once the principle is adopted, and should result in increased effectiveness of the Board in dealing with its increasing responsibilities.

All-University Assembly: Second, and perhaps even more important as a mechanism for cooperation and the continuing interplay of fresh ideas, a broadly based All-University Assembly could be established to discuss at regular intervals matters of interest to any constituency within the University, and regularly to report to and advise the trustees and the President.

The All-University Assembly just proposed would be an instrument for cooperation and communication among the (nearly autonomous) constituencies that make up the University. As an advisory body, it would have no authority except the greatest authority of all (in an academic community): the authority to consider any matter of concern to any constituency and to make recommendations to the President, trustees, students, faculty, and alumni. It might number sixty or more members, with seats divided among faculty, students, alumni, trustees, and the general public. It would adopt its own rules of procedure and prepare its own agenda.

Each constituency in the University has its unique reasons for being. And there appear to be sound reasons for preserving the autonomy of each of the several policy-making bodies that represent them. There is equal need for cooperative work among all policy-making bodies, and the Assembly could serve as the mechanism for such cooperation, in which all bear equal responsibility. At the same time it would provide for adequate communication among all constituencies. The small

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[6] Scranton Commission Report, Chapter 6.

amount of staff work required for the Assembly could be handled by the office of the President.

This proposal is founded on certain premises, which underlie much of what is said in other words elsewhere in this Report, but which may be restated in this connection as follows:

1. The educational program is a vital concern to all constituencies of the University.
2. Every suggestion for up-dating the educational experience–from every source–deserves consideration.
3. The very process of such consideration is a learning experience for everyone who is involved in it.
4. The formulation of policies which will reflect the very best of what all constituencies are capable requires a thorough, candid, and unselfish effort to achieve the cooperation called for by this proposal.
5. The forces of alienation in the University and in society require the institution of higher learning to take the lead in unifying, first the scholarly community and then, insofar as is possible, the greater community.

We believe that the establishment of an All-University Assembly, somewhat as proposed here, will contribute measurably to the objectives embodied in these premises, and that it will serve a useful purpose even if the Commission's proposals for faculty and student membership on committees of the Board of Trustees are adopted.

PARTICIPATION BY OTHERS

At a time when it has become clear that universities generally–and this University in particular–"are in and of this world,"[7] it is essential that recognition be given to the influence exercised on decisions concerning some issues by alumni, by officials of the local government of the District of Columbia, and by representatives of some agencies of the Federal government. It is essential that thought be given to the representation of these "outsiders."

The term "outsiders" ill applies to alumni; they are members of the University community, though removed by geography or by other demands on their time. Their interest, their understanding, and their moral and financial support is continuingly needed. They are represented on the Board of Trustees. We recommend that the alumni also be represented on the proposed All-University Assembly.

Circumstances dictate that the University will continuingly have an intimate and in a sense dependent relationship with the District of Columbia government. The new youth culture has essentially transferred much of the responsibility for student

[7] This phrase is taken from an effective development of this idea contained in an unpublished manuscript entitled, "Changing Patterns of Internal Governance," by T. R. McConnell, Research Educator, Center for Research and Development in Higher Education (September, 1970).

discipline to local authorities. The physical expansion of the University poses successive problems for negotiation. The evolution of public higher education in the District makes desirable better coordinated planning for the utilization of teaching, laboratory, and library facilities. We recommend, hence, that representatives of the District of Columbia government be included on the All-University Assembly.

Increasingly, private universities depend for support on the Federal government. In 1971 about 22 per cent of the total operating budget of the University is provided by the Federal government. Federal support has been provided principally in the form of grants for research, special institutional projects, and loans for the construction or acquisition of dormitories and subsequently of academic facilities. In the future it is likely that additional Federal support will be made available in the form of scholarship aid to students with supplementary grants for general support to the institution the student chooses to attend. The stipulated conditions under which such aid is made available markedly influence educational, financial, and administrative decision making within any university.

It is not practicable to invite participation in the councils of the University by officials of the Federal government. But there is need for an increasing understanding by the University community—trustees, faculty, students, and alumni as well as administrators—of the evolving role and influence in this University's affairs of the Federal government. To provide this understanding we recommend that the All-University Assembly be provided at regular intervals with a summary of the extent and purposes of Federal aid, with interpretation of the objectives and the conditions surrounding such aid.

THE ROLE OF ADMINISTRATORS

A university is a large and complex enterprise. Its efficient and economical administration is essential to the effectiveness of the teaching, research, and service activities performed by each of the members of a large professional staff. And that effectiveness requires a strong, decisive, and unfettered hand on the tiller; those responsible for the academic enterprise must be free to administer. They must first of all have freedom to discharge their responsibility to provide the funds, facilities, and services essential to the enterprise without undue delay or dissipation of decisiveness. Secondly, even in matters of policy and direction of the university as an educational and scholarly institution, the ultimate decisions on allocation of scarce resources have to be made by some person or by a relatively small group. These decision makers must have a perspective and a responsibility which comprehends the entire scope of the institution's activities. And finally, the presidential office must have sufficient discretion to enable its incumbent to be a convincing spokesman. Here the president performs a dual role: first, to speak for the institution; and second, to represent the trustees in their responsibility to the public interest. In

both cases wide discretionary power must be provided.[8]

Yet the foregoing sections of this Report–and the character of the University and the times in which it functions–stress the importance of wider participation in decision making. Essential as such participation is, it is urgent that administrators–the president, his vice presidents, and his deans–be free and be expected to make currently those decisions that are essential to the ongoing operation of a large institution.[9]

That is essential even though the university campus is peopled by free and widely diverse minds, and is characterized by more dissent than agreement. And new ways must be found to provide freedom and authority for the president and his staff even while he and his aides are participating to a greater degree than in the past on administrative, faculty, and trustee committees; in the Faculty Senate; and in the All-University Assembly. When trustees have more frequent and more direct contact with faculty members and students, the president's position *vis-à-vis* the trustees will have materially changed. Yet his effectiveness–to repeat, "his freedom and authority"–must be preserved and strengthened. This can be achieved in two ways.

It will be achieved by the president's own administrative style.[10] That style will include a persistent and full disclosure of action and particularly of the reason for such actions, and the contrasting views that were weighed, through systematic methods of communication to all the university's constituencies. It will include a persistent effort to consult broadly with each constituency and to be informed of the views of each. But in addition, the president and his aides (e.g., the vice presidents and deans) will gain freedom and authority only as they advance ideas and manifest leadership–educational and institutional leadership. In summary they play political roles, persuading and welding consent and agreement. But in that role the president needs to have and to advance ideas and to mould consensus to support his ideas; he is president, not the executive secretary, of the university.

It will also be achieved by the development of a new concept of delegation and accountability. This idea has been developed well by Kingman Brewster:[11] he has written cogently that positive, competent, and responsive administration (as dis-

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[8] Parts of this section paraphrase Kingman Brewster, Jr., *Thoughts on University Government* (New Haven: Yale University, October, 1968), p. 8.

[9] Kingman Brewster has made this point well (remarks before the Yale Political Union Sept. 24, 1969) when he said: "Not only the capacity to make decisions boldly and consistently, but the quality of the decisions urge that inherently executive matters not be distorted by being poured into a quasi-legislative process in the name of representation."

[10] Effective development of this concept is found in T. F. Lunsford, *The Official Perspective in Academe* (University of California Center for Research in Higher Education, 1970); H. L. Hodgkinson, *The Structure and Function of Decision Making Organizations Involved in Campus Governance* (same publisher, 1969); and T. R. McConnell, *Changing Patterns of Internal Governance* (same publisher, Sept. 1970).

[11] *Op. cit.*

tinguished from progressive and considered policy) will not be guaranteed by representation in all matters, but by *administrative accountability*. The first requirement of such accountability is the kind of disclosure we have suggested. It is a primary element of the administrative style of today's university president. The second requirement of such accountability is the right of petition by those who are affected by decisions. And the third element of such accountability is a regular, orderly process for evaluating the performance of the president and the deans. The essence of this requirement is that if the president has lost the confidence of the university community he has lost the capacity to lead, to administer. (The tenure of Great Britain's prime minister offers an analogy.)

At most universities the accountability that goes along with the executive discretion of the president is formally limited to the power of the trustees to fire the man they previously hired. That power is in fact rarely used, because it runs counter to an expectation of lifetime tenure; it is likely to be exercised only after extreme dissatisfaction has been voiced by numerous constituencies within the university. At best, even the most circumspect and covert efforts to remove an unsatisfactory president are a cause of intense personal anguish to everyone concerned. If discontents have erupted into direct, overt challenge, the trustees' response may be defensive, just to prove that they cannot be pushed around and that the institution will not be ruled by a mob. In any event, the consequences–ranging from deep personal embarrassment to outright damage to the integrity and stability of the university–are unfortunate and should be avoided if possible.

The essence of the problem is that, although the president is legally accountable to the trustees, there is under the present system no orderly way to change the administration of the university without engendering an atmosphere of crisis. This problem can be resolved by providing beforehand for periodic renewal of the president's tenure. With such a provision there would be a definite time at which everyone concerned recognizes that a change may or must take place. We believe the governance of this University would be better if the trustees provided for a systematic reappraisal of the President's performance and explicit consideration of his reappointment at some specified interval.

The average length of service of college and university presidents is somewhat less than twelve years. The demands of the office are such that few men can endure them for much longer; and none should be asked to, unless there is some clearly discernable end in sight. What is more important than the average tenure is the specification of some shorter term, at the end of which the president's performance will be reviewed and his appointment renewed for a like period, if mutually satisfied. Considering that a new president is not able to make his mark on the institution in much less than four years, it would appear that a term of five, six, or seven years, with the possibility of renewal, would fulfill the requirements of both practicality and humanity. The precise duration of tenure must be discretionary with the trustees.

The reelection of the president makes explicit reaffirmation of the confidence

the trustees place in him; it should certainly serve to strengthen his position and to increase his freedom and authority. The event can also be an occasion for review of the institution's goals and progress, leading naturally to an updating of the trustees' views concerning desirable new directions.

The Commission therefore recommends that—to strengthen the position of the President and to increase his freedom and authority—the Board of Trustees

1. establish the practice of comprehensively reviewing the performance of the President, and reelecting or replacing him, every five to seven years, as determined by the Board, or at such times as the President may request; and
2. restate, in the context of the reasoning set forth in this Report, the responsibilities it expects the President to bear, and the authority it entrusts to him.

Without going into detail concerning the tenure of other officers of academic administration in relation to their respective responsibilities and powers, the Commission further recommends that (in the event its recommendations on the President's tenure in office are implemented) deans and department chairmen should also serve for limited terms. We believe that longer terms are desirable for deanships than for department chairmanships; and we suggest terms of five and three years, respectively, renewable once. Because exceptional circumstances may arise in which some deviation from this policy becomes desirable, we believe that it should be stated as a norm rather than as a fixed rule.

CHAPTER III

SELF-DISCIPLINE

"If colleges and universities will not govern themselves, they will be governed by others." So begins the report of a Special Committee of the American Council on Education.[1] From its context it is clear that the first use of the word "govern" in the citation is in the sense of *self-discipline,* chosen here as the appropriate descriptive title for this section of the Commission's Report. And the quotation is apt; no one who has learned the lessons of history will dispute its truth. A major part of the price exacted by society when it confers a privileged status on an institution is the acceptance by that institution of responsibility to provide for its own discipline. It is therefore urgent that the University consider its provisions for self-discipline, and attend to ways and means for each constituency to participate in policing the conduct of its members.

The time is past when orderly functioning of the university could be assured by the faculty setting rules for students but not for themselves; or trustees setting rules for others but not for themselves. This University acknowledges the principle that those who must abide by rules should have some say in their formulation. It is important to recognize another principle: that the greater the privileges of members of the institution, the greater is their responsibility for maintaining high standards of conduct. It is appropriate to consider conduct in this context; and it might well be appropriate to approach the problem of codes of conduct in the context of a set of guidelines setting forth rights and responsibilities for the total campus community, including all constituent groups.

By the very nature of a university, which is centrally concerned with safeguarding the freedom of the individual to search for truth, the maintenance of order, personal safety, and freedom from coercion are preconditions as necessary for the beginning scholar as for the advanced researcher in his library. The student body and the faculty are the two university constituencies that are both large and cohesive, in the sense of recognizing an identity of interests. (This categorization leaves out nonacademic employees of this University, some of whom are unionized and are subject to contractual relations negotiated by their unions.) In these times, with wide publicity given to the tensions and occasional turmoil on college campuses, it is perhaps natural to think of students as being the sole under-disciplined element in the university. But attempts by political extremists on some faculties to subvert the purposes of the university, and a pervasive disquiet related to allegations of faculty deficiencies in the performance of academic duties, argue the necessity for the university, primarily its faculty, to examine carefully and candidly faculty standards and procedures for self-discipline.

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1 *Campus Tensions: Analysis and Recommendations,* Report of the Special Committee on Campus Tensions (the Linowitz Committee) (Washington: American Council on Education, 1970).

STUDENT BODY

Until the nineteen-sixties brought to the universities mass protests and individual acts of disobedience rooted in social tensions, political conflict, or changing life styles, the disciplinary systems of the University were adequate to deal with those relatively rare violations of accepted codes of conduct which did occur. But subsequent experience soon showed the necessity for devising means to cope with new situations. The circumstances then existing are best described in the following introductory paragraph from the Final Report of the University's *Ad Hoc* Committee on the Judicial System:

> "A national atmosphere of social tension, political conflict, civil unrest and changing mores has created new pressures for our universities and their people. Deep mistrust among students of the good will and judgment of civil authorities has spilled over heavily in universities to create suspicions and fears of administrative power. A national expansion in the use of the courts to curtail governmental power has created new attitudes of litigiousness and legalism that require a heightened scrupulousness in attention to procedures and forms of official conduct. New patterns of behavior and thought among the young, such as drugs and new sensitivities to individual freedom of conduct, challenge old assumptions of university administrators toward students. New techniques of protest and a new vocabulary of political rhetoric have threatened conventions regulating respect for property and persons, social manners and the numerous status relationships among students, faculty and administrators. Attempts to democratize decisions formerly delegated to those in special authority and attacks upon expertise as a covert and oppressive elitism have left large segments of the universities and the society confused as to where power should lie. A confusion and blurring of distinctions between public and private institutions have produced novel applications of federal constitutional rights. A new and rampant moralism of the left and of the right has produced an autistic righteousness that raises tensions and prevents communication. All of this is aggravated by a rhetoric of demands and unrealistic expectations, and by a rhetoric of fear and unrealistic defensiveness in response. The university and colleges, as the largest, best organized, most gifted and articulate national community of young adults, have become the focal point of much of these tensions and anxieties."

Fortunately, the University recognized and gave attention to these matters quite early. Beginning in 1967, individuals and committees of the administration, the student government, and the faculty addressed themselves to the perceived problems. The ensuing dialogue resulted in drafts of policy statements, proposed regulations, constitutional documents establishing various new hearing bodies for matters of student rights and discipline, and boards to discharge additional responsibilities for self-government. These were approved by the Board of Trustees as they became complete.

Initially these efforts were responses to problems seen in isolation: practices

in need of reform, new challenges of accepted practices and principles, or needs to accommodate new elements of the University structure. The approach was piecemeal and in a sense experimental. Experience led to recognition of the necessity for integrated solutions in two major problem areas: the formulation of a code of conduct and provisions for its enforcement. Joint study in these two areas, broadly defined, was accordingly undertaken.

The *Statement of Student Rights and Responsibilities* is the first product of the studies, discussion, and debate that ensued. A draft initiated by representatives of the student government in a joint faculty-student committee received careful and lengthy consideration by all sectors of the University and eventually was ratified, as amended, by both the Student Assembly and the Faculty Senate. After further study and clarifying amendments it was adopted by the Board of Trustees on August 7, 1970. This document stands as the cornerstone of the structure of student rights and responsibilities in the University; it embodies also elements of a code of conduct, but without much detail.

At about the same time President Elliott appointed a committee which came to be known as the *Ad Hoc* Committee on the Judicial System to review existing student regulations, to advise upon the establishment of courts of initial jurisdiction and to prescribe appropriate procedures, and finally to recommend appropriate changes in existing regulations regarding student conduct. It consisted of four members of the faculty and four students, including the Chairman of the Student Court, which had been established earlier, and the then President of the Student Body. This committee gave exhaustive study to regulations governing student conduct and to questions of structure and procedures for a system of hearing and appeal bodies to deal with infractions. Its lengthy and detailed report was considered also by the Faculty Senate and, with amendments designed to simplify procedures and to retain exclusive faculty jurisdiction over infringements of academic regulations, was approved by the Senate. In its modified form it was approved by the Board of Trustees on January 21, 1971. The Board then directed its Student Affairs Committee "to make such further recommendations as it deems desirable and necessary" after discussion with the appropriate University bodies.

What is provided for: In the area of "academic discipline" (using this term to refer to the mechanisms, sanctions, and procedures for dealing with violations of the academic canon of honesty), the responsibility is placed on the faculty by the charter of the University. But in discipline, as in other aspects of governance, a growing recognition of legitimate student interest in academic matters has led to increasing student participation in decisions lying in the area of academic discipline.

Since 1967 student participation in judgment of cases of academic dishonesty has been provided for. In that year the University Senate resolved: "That the President of the Student Body, with the advice and consent of the respective Dean's Councils, appoint one student, having the status of junior or above . . . to

become a full participant with voting privileges in the deliberations of each of the Dean's Councils of the University in each case where a student charged with academic dishonesty elects to have student participation in the judgment of his case. Students will be informed of their right to have such student participation in the letter of announcement of the meeting."[2] The openness that is fostered by the (infrequent) opportunities for first-hand observation offered by this provision may in time erode misconceptions and suspicions about the faculty role in matters of academic discipline.

To summarize what is now provided for in the major problem areas of non-academic discipline, the *Statement of Student Rights and Responsibilities* sets forth certain principles concerning the purpose and the nature of the University, and the basic assumptions relating the rights and responsibilities of individuals to these. It then goes on to outline procedures, rights, and safeguards for students in the classroom, as campus citizens, and as off-campus citizens. It provides for student participation in matters of academic policy. And finally it defines roles and responsibilities for enactment of regulations and provides standards of fairness and student rights in disciplinary cases. Having been adopted by the Board of Trustees, it now represents University policy in those matters.

Likewise, the Board of Trustees approved the report of the *Ad Hoc* Committee on the Judicial System, under the title *Judicial System for Nonacademic Student Discipline.* This document will provide a coherent system for enforcement within the framework of the *Statement of Student Rights and Responsibilities.* It incorporates the previously existing Student Court and the Hearing Committee on Student Affairs (renaming it the Student-Faculty Committee on Appeals) into the larger system and establishes a Presidential Appeals Board as a final appellate body short of the Board of Trustees, to exercise the power vested in the faculty by the charter of the University. It permits a student defendant the option of being tried before a University administrative officer instead of a student court; and also provides for administrative, nonjudicial punishment in some cases not involving significant penalties as defined by the *Statement on Student Rights and Responsibilities.* It provides for a University representative with litigation experience to present major disciplinary cases and to perform other functions somewhat analogous to those of a prosecuting attorney in the civil court system. The power of expulsion or suspension for more than one year is vested in the Student-Faculty Committee on Appeals, the Vice President for Student Affairs, the Presidential Appeals Board, and the Board of Trustees. Additional procedural questions are also treated.

Sanctions that may be imposed for specific offenses are stated. Functions, duties, and responsibilities of officers of the judicial system are defined. The roles of students, of the University, and of its officers and agents in the formulation of regulations governing conduct are set forth; provision is made for special procedures and emergencies. Finally, the Report provides for a Committee on the

[2] Senate Resolution 67/6, passed December 8, 1967.

Judicial System, consisting of faculty and students, which will bear the responsibility (among others) for identifying, studying, and proposing amendments to the judicial system. This committee will present such amendments in the form of draft resolutions to the Executive Committee of the Faculty Senate and to the President of the University.

In an earlier report of a task force of this Commission, issued for discussion before the completion of the work of the *Ad Hoc* Committee on the Judicial System, it was suggested that the then-existing system of hearing and review bodies be simplified and their practices modified, for the purpose of reducing what seemed to be an excessive reliance on legalistic procedures. It was further suggested that those features of the judicial system that had proved their worth should be retained and developed further in the light of experience. These proposals are fulfilled by the judicial system as finally approved by the Board of Trustees.

What should be provided for: First, the operation of the new judicial system should be carefully monitored, to insure that changes suggested by developing experience are put into effect as the need becomes apparent. The leading role, in this connection, will be the responsibility of the permanent Committee on the Judicial System which has already been appointed by the President of the University in the course of implementing the system.

One further measure might well be taken. This is the publication of a document containing those regulations, policies, special rules of conduct, and requirements affecting students. The *Statement of Student Rights and Responsibilities* and essential portions of the *Judicial System for Nonacademic Student Discipline* (or an interpretation of them) might appropriately be included. Some regulations and statements of policy are now published in an appendix in the University catalogues, and some of the other items mentioned are included in the *Student Handbook,* which receives limited distribution. But nowhere is there a comprehensive summary of all pertinent nonacademic provisions, in one place, with wide distribution. The availability of such a document would fulfill legal requirements of reasonable notice, and would be of great utility to students, advisers, and others in the University.

Altogether, the work done by students, faculty, and administrative officers to formulate a code of conduct and provisions for its enforcement is impressive. The Commission in acknowledging these efforts wishes to stress the constructive nature of the contributions of all who have been involved. In particular, the part played by representatives of the student government was invaluable both in initiating discussion and in the many deliberative meetings that eventually brought forth what appears to be a workable judicial system. Faculty participation, likewise, exhibited qualities of understanding and cooperation that were most constructive. The task was not easy, given the atmosphere of emotion and polarization which existed at its beginning. Its accomplishment should lessen the

vulnerability of the University to pressures, internal and external, that may be exerted in the future. In the words of the *Ad Hoc* Committee:

> "On our own campus the committee has been impressed by the willingness of students to cooperate in the fashioning of practicable solutions. While suspicious of administrative and faculty arbitrariness, students have still shown a patience and diligence in striving for reforms that reveals an underlying confidence in the institution. The long roads to the Statement on Student Rights and Responsibilities, to the establishment of a student court, to the enlargement of student policy making participation, and of this committee itself have persuaded the faculty members of the committee that there is a reliable and substantial body of student leadership sympathetic to the values and dilemmas of our university, and willing to work constructively over long periods with the faculty and administration."

The Commission concludes that the University has moved with care and dispatch to establish a student disciplinary system that can deal fairly and effectively with misconduct. It is significant that students participate, where appropriate, in the disciplinary processes. The proposed system is elaborate, but it rationalizes and strengthens the existing system and appears to be reasonable and practical.

The future is not predictable, and it must be conceded that actual experience with student participation in disciplinary processes has been meager, to date. Much will indeed depend on whether the student body will give the proposed system the support needed to make it work. And there is of course no guarantee that events beyond the control of the University will not initiate further waves of disruptive activities. Nevertheless, the Commission feels that the prospects for a workable student disciplinary system along the lines of what is now being tried are very good.

What, then, remains to be done?

First, the operation of the disciplinary system should be carefully monitored, to insure that changes suggested by experience are put into effect as the need becomes apparent.

Second, a comprehensive review of rules and regulations governing student conduct should be undertaken–considering the needs for flexibility, adaptability, notice to students, reasonableness, and relevance to University objectives–and published adequately.

FACULTY

The performance of faculty duties is, by the very nature of the scholarly endeavor, individualistic and subject to manifold variations in personal style. The "mix" of classroom teaching, counseling, research, and other scholarly activity in the work of the professor differs with the individual to such an extent that it can be specified only in the most general terms. The serious student would not

have it otherwise with his teachers; the quality of his individual academic experience is strongly conditioned by his exposure to a variety of individual styles and viewpoints. But this impossibility of standardization places the burden of discipline on the individual faculty member, by making collective professional self-discipline difficult to realize.

As a case in point, the *Faculty Code and Ordinances* governing academic personnel of the University specifies faculty professional responsibilities in broad terms. In its procedures for termination of continuous tenure or dismissal (both are severe sanctions, it should be noted) it provides for participation of faculty members in judging the case; but it goes on to provide for making "every reasonable effort . . . to remedy the situation through informal personal consultation and conferences by the appropriate administrative officers and/or by the faculty member's colleagues" before instituting any formal proceedings. That is to say, the preferred mechanism is informal collegial persuasion and mediation.

The realities underlying this reliance on informal procedures lead us to conclude that similar informal relations (partaking more of the nature of personal communication than of highly structured mechanisms for judging complaints) will be most effective in responding to criticisms of lesser, and often inadvertent, derelictions. We believe, however, that aggressive and imaginative use of the departmental advisory committees will be required to guarantee that the faculty does meet the standards of excellence to which the University aspires. These mechanisms for interaction between students and faculty should largely eliminate the need for other, more cumbersome, structures for redressing grievances. This belief is based on the well established principle that academic decisions are likely to be better if all points of view of an issue can be ventilated.

What should be provided for: In a different category is the abuse by an individual of the intended safeguards of academic freedom, by using that freedom to subvert the purposes of the university through political extremism. There has been, happily, little evidence of extreme political activism on the part of members of the faculty of this University. But the time to consider that possibility, and safeguards against it, is now, while tempers are relatively calm and polarizing issues absent.

The question of this kind of undermining of academic freedom has been taken up by various segments of the national academic community. The American Association of University Professors has called for "increased efforts by faculties to guard academic values against unjustified assaults by their own members." Warning that political extremists "threaten to crush what universities stand for," a commission of faculty members at Stanford University has proposed written standards for faculty self-discipline there. Its recommendations include standards, sanctions, and procedures for faculty self-discipline.

Most recently, the Carnegie Commission on Higher Education in a report just released argues persuasively for a statement of rights and responsibilities applica-

ble to all constituents of a university, and including the institution as a separate entity, also.[3] The report takes the position that guidelines for the conduct of all members of a campus should be developed through wide consultation and discussion. It goes on to say, "The justification for such openness goes far beyond the need to establish 'credibility.' Different parts of the university community have different values and interests which can be reconciled in a code of discipline only if all factions have the opportunity to be heard."

The report presents a "model bill of rights and responsibilities," which "establishes the principle that the greater the privileges of members of the institution, the more responsible they should be for maintenance of high standards of conduct and an environment conducive to extending, sharing and examining knowledge and values. Thus, faculty members with tenure, as well as trustees and administrators, all of whom have substantial authority and security, should not inhabit protected enclaves above and beyond the rule of law nor be shielded from the legitimate grievances and requests of other elements of a campus."

We believe, and recommend, that the Faculty Senate should take the lead in broadly based studies and discussion leading to the formulation of a code of conduct dealing with rights and responsibilities of the faculty and others in more detail than is presently furnished by the *Faculty Code and Ordinances.* This is not to say that the "model bill," just mentioned, needs to be followed slavishly; many principles of student, faculty, and institutional rights and responsibility are already embodied in the *Statement of Student Rights and Responsibilities* and the *Judicial System for Nonacademic Student Discipline.* But the proposed code, which might appropriately deal with or include standards of conduct, sanctions for infractions of them, and procedures for hearing and judgement by representatives of the faculty, should then complement these two documents and the *Faculty Code and Ordinances.*

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[3] Carnegie Commission on Higher Education, "Dissent and Disruption: Proposals for Consideration by the Campus"; reported in *Chronicle of Higher Education* (March 15, 1971), pp. 11-14.

CHAPTER IV

COMMUNICATIONS

THE CLIMATE OF INTERCHANGE

The Commission undertook to assess the character and effectiveness of communications, both formal and informal, within the University community. The Commission approached this task by first considering what the climate of interchange should be between and among students, faculty, administration, trustees, and alumni if participation by all members of the University community is to be effective and responsible. This view of our task was prompted by a recognition that we should consider "communications" in a setting in which (to quote the Scranton Report) we should be working for "the peaceful coexistence or blending of different life styles." It is not necessary here to repeat the measured and specific analysis of the divergence of youth culture from the more traditional assumptions underlying a university's purpose which was set forth in that report.

It is important to note here, however, that a significant number of students and some faculty members in every major university, including George Washington, hold views that differ in substance as well as style from those commonly regarded as traditional in American society. Moreover, there is a dimension to the youth culture that perhaps even the Scranton Report does not fully reflect and which in any case deserves special emphasis. It is not only that some values and some viewpoints held by younger people differ from the more traditional views held by their seniors, but rather that the young are intense, not infrequently to the point of crusading zeal. This difference between the two cultures surfaces when the senior's rational, intellectual endorsement of a presumably shared value meets the emotional, deeply-felt commitment of the younger person. The natural response becomes, "if you really cared . . .," and this, in today's language, translates into "you may possibly understand, but you are not really committed." Hence the frustration on both sides and the consequent problem of communicating.

Five Principles: In the light of the above comments, the Commission felt that a clarification of the role of the University *vis-à-vis* this new culture would be helpful. To that end the Commission believes the University should hold to the following principles; indeed, we believe these principles are already recognized at George Washington and are being largely followed now.

1. The right of the individual to hold views, adhere to values, or adopt life styles will not be breached as long as the rights of others are not infringed upon.
2. Anyone who will listen deserves to be listened to.

3. The university exists to promote the intellectual, rational search for truth and to teach the same. There are undoubtedly other forms of truth and other duties with high intrinsic merit, but the university is not obligated to pursue them.
4. While according complete freedom to the individual to participate in political life or to support particular issues, the university itself is not a political institution and will not play a partisan role.
5. The community service functions which the university or its professional schools undertake must remain within its customary resources and bear a natural relation to teaching, research, or apprenticeship.

The foregoing is not a catalogue of all the things a university should be or do; it is, however, a set of parameters. And it should be remembered that (again in the words of the Scranton Report) "even the most perfect university the imagination could conceive would still be an unrestful place. Among other things, it would concentrate on its campus significant numbers of young people, and it would encourage them to entertain novel ideas, to read heterodox books, and to submit all received wisdom to critical scrutiny."

Guidelines for Communication: Given these principles and the situation of diverse cultures, what should be our guidelines so as to make communications effective on the University campus today? We believe the answer would include at least these three:

First. A recognition that the existence of differing cultures constitutes a condition to be recognized and accepted, not a problem to be solved. Hence, everyone, and especially the leadership, in each constituency must make a genuine effort to understand the genesis and the internal logic of the differing values held on the campus today.

Second. Everyone, and especially the leadership, in each constituency must listen with forbearance.

Third. Everyone, and especially the leadership, in each constituency must recognize that power in a university is diffused. The properly functioning university is a community, not a hierarchy, as we have emphasized elsewhere in this Report. Therefore answers will not always be swift, and consensus or even compromise can be more viable than edict.

INFORMAL COMMUNICATIONS

Leadership–Attitudes and Examples: The climate of interchange within the University community could profit from a greater sense of trust between and among all of its elements. It is extremely difficult to approach the subject of trust without seeming to be sententious or admonitory; we mean to be neither.

It is, however, a very practical matter, essential to any constructive interchange.

As we have tried to express earlier in this report, the wider world is responsible for most grievances on this or any other campus. We have not stressed, and need only mention now, that in the wider world the university is one of the most vulnerable of our institutions. In like degree, the effective functioning of the university is dependent upon mutual trust rather than imposed authority, and, consequently, leadership on campus involves more risk than in simpler situations.

We believe that trust is enhanced and maintained on campus primarily by three factors: physical presence, candor, and reciprocal respect.

It is a genuine misfortune that the physical presence of the president or any other senior officer on the campus of any school can today evoke insult and expose that officer to abuse. We surmise, however, that this University's policy (now in effect for several years) of having either the President or a senior deputy on campus and available to students at normal hours will soon stabilize an inverse relationship between presence on campus and abuse. It is suggested, however, that while the President must lead on this score, he should not stand alone. Arrangements should be devised to involve trustees, senior faculty, and alumni. Some of these obviously need to be briefed on specific issues, but in the main these encounters should be informal and in no sense contrived.

Candor should be defined, in the university context, as going beyond a merely truthful answer. It often involves giving out more information than was requested (by all sides). It involves stating "why" as well as "what." Such communication would teach as well as inform. This comment applies with equal force to the formal media of communication as well.

The matter of reciprocal respect is especially significant at this time and in this context. Such respect begins with the genuine effort to listen so as, in fact, to hear. But then it also involves, having earned respect, demanding respect. There will be times when everyone should demand the same courtesy he has extended, and this may well take the form of asking the abusive or repetitive speaker to sit down and be quiet. We believe most audiences so tested will respond properly.

Specific Programs: The possibility of informal dinners or luncheons with trustees and faculty mentioned earlier should be pursued. We also feel that there are occasions when the faculty and the trustees should take the initiative *vis-à-vis* other constituent units of the University. For example, proposals to be made in the Faculty Senate or in meetings of the trustees or of the various faculties which will directly affect or involve the administration or student organizations should be brought to the attention of such groups before action is taken.

The Commission found a number of examples of affirmative leadership that contribute to a healthy climate of interchange in the University community. We particularly endorse the practice of the Vice President for Administration and of

the Vice President for Student Affairs of spending substantial time with students and student groups on campus. We suggest that the formal office hours for these people and others so involved on their staffs should be modified, to avoid what may at times approach a continuous 80-hour week for them.

Campus security is clearly an area of concern in which effective communication is paramount. We commend the practice of using an Advisory Committee on Safety and Security with student and faculty membership. Trustees might well also be asked to serve on this committee.

Even though it may seem less necessary since the University's plans for expansion of its physical plant are now well publicized, we particularly commend the practice of participating in community organizations such as the West End Citizens' Association, the Second Precinct Advisory Committee, and the Foggy Bottom Citizens' Association.

The fact that the University has adopted an Affirmative Action Plan for Equal Employment Opportunity is to be commended. It would contribute to the realization of some University objectives if this fact were more widely known.

The existence of the Marvin Center, the Commission is pleased to note, has substantially expanded the opportunities and the resources for building and sustaining interpersonal relationships and communication among individuals and organizations on the campus. Despite minor operating and scheduling problems, the first year of operation marks a high point in faculty-student-administration cooperation.

Psychological Maintenance–Personal Involvement: Communication under this heading would normally be on a one-to-one or a few-to-one basis. This Commission is aware of the many nuances of personal relationships that must exist in the University community. However, we would like to comment on some practices relevant to governance that do exist and a few that should.

The Commission has received an uncertain picture of the current situation with regard to academic counseling. It seems clear that some students reject or ignore such help. It is also clear that some faculty skimp their special obligation on this score, particularly with respect to undergraduates. Additionally, some counseling has been poor in the sense that misinformation was given out or that interpretation of requirements and rules has been narrow and unnecessarily cold–at least these are the residual impressions left with some students. In any case, this appears to be an area in which faculty could well afford to set an example of responsibility and generosity of spirit. The Commission notes with approval the corrective efforts initiated by Columbian College as this Report was being written; specifically the recognition that "Counseling is the other side of the coin of teaching, is of equal significance, and is chiefly an academic . . . responsibility."

Additionally, it did not become clear in our discussions with faculty and administrative officers whether there is, in fact, any organized effort to provide orientation for new undergraduates. Clearly, more senior student leaders and

organizations have a role to play in orientation, but the Commission feels this is primarily the responsibility of the faculty and administration.

Beyond the formal obligation of the faculty to provide academic counseling, the Commission believes it would greatly enhance effective co..mmunication throughout the University community if members of the faculty would undertake to spend more time with students generally—particularly with undergraduates. In this connection, the Commission particularly wishes to commend the administration and faculty for the inauguration of the "five-for-one" program. We feel sure that this will prove to be time well invested. The Commission notes that in the academic year 1970-71 this effort reaches half the freshman class. We recommend that the Vice President for Student Affairs request those in the faculty and administrative staffs who are not yet involved to join in this effort. The entire freshman class should be reached, and ideally there will be continuing relationships established that should survive the four-year course. It is worth noting too that some of the strengths of this effort would be its informality and the freedom of participants to pursue differing approaches so as to avoid creating just another routine program.

A second innovation this year of great merit is the "Rapid Rescue" program, where students urgently in need of help can get it promptly and, if the caller wishes, anonymously. We regret the need, but in a climate where *in loco parentis* is unacceptable, some access to guidance under stress is most welcome. The availability of counseling by University Chaplains is equally important and should be publicized by the Vice President for Student Affairs.

More formal psychological counseling is also available, although it is not widely used. Medical care available through the Student Health Service is good, although it appears to generate the usual complaints inherent in any system of mass health care (or mass anything). The admittedly difficult problem of emergency psychiatric treatment deserves attention; the Commission heard some evidence that this activity of the Student Health Service may be inadequately staffed for the execution of its responsibilities for screening and referral in acute cases.

One possible source for frustration and misunderstanding could be the gap between the student's expectations as an applicant to the University and the reality of being on campus. The only example to come to our attention was a conflict over dormitory commitments (since the dormitories must be self-supporting, room obligations cannot be breached). We suggest that the administration carefully examine the information now being provided applicants and their parents to remove any ambiguity on this score. (The University catalogues do mention that room commitments are for a full year, but this needs more highlighting.)

Even if all the foregoing efforts were working well and reaching those students in most need on a timely basis, occasions would probably arise where "the system" simply fails. The standard answer these days is to establish a position of

ombudsman and to fill that office with a person of objective view, considerable courage, and personal empathy. A similar position has been established, on an experimental basis, by assigning the Assistant to the Vice President for Student Affairs to the task. This effort should be carefully monitored and support provided as the need arises. By the academic year 1971-72, the role should be publicly defined and widely "advertised." At that juncture the office of ombudsman should be established outside of the hierarchy of administration. This office must have clear organizational authority to follow up on referrals to ensure action, but should not itself attempt to provide decisions.

The final comment which follows is covered more adequately in that section of this Report dealing with Participation, but we cannot ignore the adverse effect on communication generally of the absence of any organized student government. The presence of students on decision-making bodies, however these are devised, only adds to the importance of having available student views that truly represent the student body. We therefore urge student leaders to work towards the reconstitution of some agency of student government.

Physical Maintenance–University Services and their Clientele: Problems and misunderstandings that occur within the service areas of the University are secondary to other issues of governance examined by the Commission. Nonetheless, it is often the petty frustrations that students and faculty experience in these areas that erode confidence in the administration. We shall suggest a few specifics, and we shall endorse some present practices; but first a few generalizations are appropriate.

We detect a supposition on the part of some administrative personnel that if a rule, practice, or procedure has been enunciated once, the matter should be clear and settled. In actual fact, much of the clientele is transitory, people generally have short memories, and administration itself is not static.

There may also be an undue reliance on the principle of "need to know." As a guide to communications, this principle has two faults: it is usually too narrowly interpreted by the issuing office, and it is seen as secretive by those persons marginally concerned.

There seems to be an assumption that the hierarchy of deans and department heads for the faculty, and certain student leaders (e.g., resident assistants) for the student body will automatically "pass on the word." This is not happening often enough or well enough.

The senior administrative service heads should reverse the foregoing assumptions and emphasize repetition, with provisions for wider dissemination of instructions and general information. This recommendation applies with equal force to academic and administrative departments throughout the University.

The Commission endorses the current practice of student-faculty-administration committees to set policies in such service areas as parking, the bookstore, and the food services.

The preparation and dissemination of policy and procedures manuals for such

service functions as procurement and supply, plant maintenance, dormitory maintenance, and bookstore operations are now under way, and some indeed have been completed. The existence of these manuals should be advertised, and they should be made freely available.

Physical alterations and improvements are being scheduled to provide for their orderly accomplishment within the limitations of staff and budgets. Whenever possible, the client is informed of the expected starting date for his work, but despite this there often remains uncertainty as to whether and when some job will be done. It is suggested that this schedule be posted in the Business Office in such a manner as to be accessible to interested persons.

It is impracticable to schedule the more routine mainteance operations. The absence of the clients (faculty or students) when maintenance people come to do the work, the necessary reliance on outside sources for parts, etc., often result in the work's being delayed beyond the initial call. Many minor irritations and follow-up messages could be avoided by using "drop cards" indicating what action was taken or what will be done.

The fact that supplies, services, and internal physical office improvements must be accommodated within school and departmental budgets needs wider dissemination and understanding. Deans and department heads need to make this fiscal decentralization understood by faculty and staff.

Wherever possible, the administration should go out of its way to enlist the affirmative support of students and faculty. One such example might be the present suggestion by Omicron Delta Kappa that its members work in partnership with the administration to develop a more comprehensive information service in the Marvin Center.

FORMAL COMMUNICATIONS

In the foregoing sections, the Commission has stressed its belief that the day-to-day personal involvement of students with faculty and administrators is the most important factor in achieving the essential climate of understanding and mutual respect. Publications, however, are the accepted tool for maintaining that climate and for reaching out to all segments of the University community. This section accordingly considers the major publications of the University. Just how well these publications, internal and external, as well as the student publications on campus are meeting their announced goals has been explored through interviews and by reading the end products. The principal publications include the various University catalogues and class schedules; the *Student Handbook; The Monday Report;* the *GW News;* the *GW Magazine;* individual professional school papers; the semiweekly student newspaper, *The Hatchet;* and the campus radio station, WRGW. Their number, and the diversity of their objectives and respective managements, have made evaluation a time-consuming task.

Before launching into this statement of the Commission's assessment of formal communications, we must note that events have, at least in part, overtaken the completion of the Commission's task. There is inherently no reason why this should not be the case; and hopefully more intensive study and more constructive action by the University in its normal mode of functioning may well supersede anything that can be expressed here by the Commission. The following comments then are offered with this caveat in mind.

Academic Publications: The catalogues and schedules comprising the University *Bulletin* are legal documents which are designed to give information within prescribed limits, and that fact (in addition to the cost of such widely distributed publications) explains why certain useful items of campus information are omitted from them. The *Student Handbook,* on the other hand, is an important communicator which has been displaying each year a greater sensitivity to the needs of students. It is at present directed particularly to freshmen and other newcomers to the University; there is evidence that its more general distribution would be warranted.

With respect to the *Student Handbook,* some students among those interviewed have expressed a wish for a boiled-down version of information contained in the Handbook (which is now available principally to freshmen). This could take the form of a pocket-size card or a fold-over for the I.D. card, containing important phone numbers (health services, parking, security, dormitory, library, psychological counseling) to complement the school calendar on the reverse of the I.D. card. If such an item could be made available to all students it would be most welcome.

Student Publications: This is an area in which the University has already moved for more intensive review, thus anticipating the Commission. On February 22, 1971, President Elliott appointed a Committee on Student Publications which, among other responsibilities, is charged with conducting a special study leading to "recommendations concerning *The Hatchet,* the *Cherry Tree,* and *Rock Creek* in terms of the function which these University-wide student publications serve in meeting student needs, the appropriate nature and scope of future financial and advisory support for them, and the most suitable future relationship of these publications to the University."

The Commission's review of student publications was leading it to a similar conclusion; that is, the necessity for a thoroughgoing study by a student-faculty group. Without assessing "rights" and "wrongs," the Commission must report that it found most opinions concerning the performance of *The Hatchet* to be unfavorable, whether talking with students, faculty, or administrative officials.

The Hatchet has been published twice a week for several years now, on the premise that this schedule is necessary to keep abreast of campus news. The editor of *The Hatchet* states that his publication is aimed primarily at the full-time undergraduate–and especially at the 2,200 dormitory dwellers in that

group. He gives his goals as (1) practicing journalism of advocacy and involvement, and (2) mirroring student opinion without necessarily reflecting majority student opinion. He sees the Bulletin Board and the free Classified Ads which *The Hatchet* carries as public service features. He is soliciting more Letters to the Editor (there are usually no more than three or four per issue at this writing), guarantees right of reply in controversial matters, and has offered space to "one shot" columnists who are not regular *Hatchet* staffers. If he had more reporters and space, the editor would "have more in-depth investigations and reprint more texts of resolutions and official documents in full." He welcomes the advent of the *Monday Report,* which he calls "the nearest thing to an administration voice on the campus."

It would be a mistake to suppose that any college student newspaper should please everyone or even that it should please any particular constituency most of the time. But clearly a fresh review of the purpose, scope, and responsibility of *The Hatchet* would be constructive at this time. It is potentially the most important medium of communication among students, faculty, and administration; and in this light it bears a major responsibility for the furthering of the sense of community which the Commission believes is essential to the effective governance of the University.

The Commission notes favorably the student publication, *Academic Evaluation.* Unfortunately the 1970 edition was not available until February 1971 and its usefulness was diminished accordingly. Nonetheless, this kind of effort with its direct student involvement is a healthy and constructive contribution to communication on the campus. The Commission believes that it would be a mistake for students to expect or demand overt response from deans and department heads, since truly constructive actions in improving teaching on the campus are not going to occur in the public forum.

The student radio station WRGW has the potential for becoming an additional important communications medium. More than 30 students give time to the station and, thanks to a link with the much more ambitious WAMU at American University, it is on the air more than 12 hours a day, sometimes as long as from 7:00 a.m. to 3:00 a.m. However, it can be received only in the dormitories at this writing. The University should support improvements to its sending and receiving equipment, in order that WRGW may serve the student body, faculty, and administration more effectively.

University News and Publications: It should be said that the body of published communications from the University is well produced, conscientious in approach, and professional in appearance. The Commission believes that none of these aspects of the formal University publications is at issue. The recurring issues were rather the question of agreed goals and some consensus at least as to appropriate means.

The Director of Public Relations meets weekly with the President and vice presidents of the University. There is in consequence adequate policy guidance

on a current basis; and, indeed, these and other officers of the University appear to be accessible whenever the need arises. These circumstances, plus the initiative of the PR staff, account for the usefulness and popularity of the *Monday Report.* While initially more limited in its distribution, it is now received by faculty and administrative staff and it is being made available to students in the dormitories and at the Information Office in the Marvin Center. The *Monday Report* fills a definite need at the University which the Commission feels should be maintained. Indeed, the Commission suggests that the President pre-empt the *Monday Report* for his own message whenever crucial issues surface, or the University's position on a major issue is being misrepresented. Moreover, it is unnecessary to wait for a particular Monday to go to press when an *Extra Report* would meet an urgent need.

A more fundamental problem is the lack of a mechanism whereby those senior people most concerned with the external constituencies of the University can have the opportunity to influence and shape the content and distribution of the University's formal publications: *GW News, GW Magazine, Faculty News Notes,* the publications of the professional schools, and quite possibly the preparation, tone, and character of materials for the admissions program.

The Commission concluded that the differing opinions it encountered as to the effectiveness, content, and publication schedules of *GW News* and *GW Magazine* particularly, but also with regard to professional school publications, were the result of the differing expectations of alumni, the Development Office, or the Public Relations Office itself, among others. We believe that these differing views cannot be reconciled by merely resolving whether or not *GW News* will carry a "calendar of events," et cetera, but rather that broad questions of goals and means need to be resolved.

To this end, the Commission recommends that a standing Committee on University Relations be appointed by the President and that this committee be charged with the responsibility for determining what audiences the University should reach, for what purpose, and with what means. Such a standing committee should very clearly *not* be allowed to degenerate into an editorial board or a day-to-day supervisor of PR; indeed, one would suppose that after the first critical goals had been identified, the committee might not meet more than three or four times a year. But the committee should be alert to the changing needs of the University, the evolving character of the alumni or other external audiences, the shifting emphases of fund drives, et cetera. Thus, for example, the fact that a given publication has been in being for many years is not of itself an argument for its continuance; but neither should changes in format or publication schedules be introduced without agreed purpose in mind.

The Commission suggests that the Committee on University Relations probably should include the Provost, the Vice President for Development, the Director of Alumni Relations, the Director of Public Relations, an experienced student, a member of the faculty, and perhaps others on an *ad hoc* basis as necessary.

CHAPTER V

FISCAL MANAGEMENT

The system for the fiscal management of the University can be modernized to make more effective use of what is now known about how to improve the utilization of resources. It is generally recognized that the really telling decisions in the governance of a university are those concerned with the allocation of its resources. Resources being always a scarce commodity, the University's programs are inevitably in competition; the decision to allocate resources to one program necessarily implies a decision to withhold those resources from another. The University needs a system, including a structure and established procedures, to construct its budget with the first and central attention concentrated on the program rather than on existing line items in the preceding budget.

All colleges and universities are faced with the same necessity to plan and to operate within the constraint of resource limitations. Most of these institutions plan the use of their resources through the preparation of an annual operating budget, and the traditional procedure is to construct the new budget by extrapolation from its predecessor. This traditional budgeting procedure has a number of deficiencies to limit its usefulness; these fall into three main categories:

1. Inadequate program consideration
2. Inadequate lead time
3. Inadequate consideration of future impact

Because of the diversity of university programs and the complexity of their structures, few American universities have succeeded in rationalizing this aspect of management. The George Washington University took the first step toward modernizing its budgetary structure and procedures with its 1966-67 budget. And in implementing the basic elements of a program budget system, the University has already collected and analyzed useful data and has begun to structure the budget format in terms of program elements.[1] Progress toward a rationalized program budget is being aided by a Ford Foundation grant for study of the problem, but the goal of integrated planning, programming, and budgeting is still far from realization. The Commission believes that the University should bend every effort toward hastening the implementation of a complete program-budgeting cycle, to improve the allocation process.

By using the procedures proposed, the University community can evaluate alternative uses of available resources in a systematic manner. What the Commission is proposing is not the destruction of existing accounting, fiscal, and budgetary processes but rather some measures that will complement those

[1] A program element, as we use the term, is defined as a set of activities which produces a measurable output. For example, the activities (within a department) which result in the production of graduates with Bachelor's degrees in its discipline, or the activities which produce graduates with Master's degrees, are program elements.

activities with useful concepts involving more planning and analysis, longer time frames, and greater concern for the economic implications of a budget decision.

There are three major phases of program budgeting: planning, programming, and budgeting. Planning is used here to mean that process whereby the college or university establishes its long-run purposes and objectives. Programming is the process by which the University can specify more immediate shorter-range goals for each of its operating units, these goals reflecting directly the results of planning. Budgeting is simply the formulation of an annual plan making explicit the composition and extent of all the program elements dealt with in the programming phase. In summary, program budgets are concerned with the allocation and application of resources to achieve preconceived objectives and goals. A program budget considers the cost, feasibility, and effectivness of alternative methods of meeting the objectives and goals.

PRESENT SITUATION

At the present time, the University's budget procedures do not include, to any considerable extent, suitable planning aspects directed toward definitions of objectives, goals, and (particularly) alternative courses of action for the institution as an academic entity. In reviewing the present budgeting system, the Commission found that the basis for constructing budgets is simply to build on existing budgets. One of the major reasons given for developing budgets in this manner is that the constraints imposed by the existing faculty tenure system allow little flexibility in resource allocation among the departments and thereby inhibit the implementation of a system of program budgeting. While this is undoubtedly the case on a short time base, the facts supplied to the Commission show that on a longer five-year base approximately 20 per cent of all nonmedical tenured positions will be vacated, through resignations, retirement, or mortality. If one adopts the view that these positions are available for reallocation to priority programs according to established criteria founded on sound program analysis, the Commission feels that the tenure system allows adequate flexibility in planning for future needs.

As set forth in the chapter on Participation, the basic premise of the governance structure of a modern university involves the passage from a historical authoritarian structure to a structure designed to engender a consensus. To many administrators, this seems to be directly antagonistic to a fiscal necessity, both practical and legal, for technical accounting expertise, but this need not be so. It does emphasize the essential two-step character of the budget process which should be utilized.

First, there should be a planning and programming cycle conceived with the objective of creating, revising, and continually updating a provisional development and objectives plan. The plan should be accompanied by clear statements of priorities, formulae, and criteria. This cycle should provide maximum oppor-

tunity for input from all segments of the University community. Subsequently, there must be a budget cycle concerned, within the constraints of the provisional development and objectives plan, with reducing that plan to dollar terms; but the budget cycle by its nature is an essentially administrative procedure.

We will set forth in more detail in Appendix A the structure and flow patterns of these two cycles and the elements which are involved. At this point we emphasize the need for the adoption of a total planning process, giving explicit consideration to University objectives and program alternatives (with accessory criteria), in order to produce a budget that will be meaningful in relation to the University's academic programs. In order to allay any fears that what is proposed is unrealistic, we remark that procedures such as we describe are in operation at several universities. The objectives of the Commission's recommendations on the fiscal process are aimed at assuring that the University's budget will reflect generally the assumptions, goals, and program priorities that were embodied in the planning proposals.

PLANNING AND PROGRAMMING

Planning: Planning in a university is a process that establishes the university's objectives, goals, and policies. Although the planning process should aim to develop and exhibit definite goals and objectives for a university, it should also examine several alternative positions. The entire university will become involved in this process to evolve statements in fairly concrete terms of the purposes, objectives, and policies of the university. The planning cycle should induce virtually every member of the faculty, administration, and student body to ask some basic questions about the university. Some of the factors that should be included are the size and characteristics of the student body; required faculty and staff support; tuition, salaries, fringe benefits, and student aid; student services and academic supporting services; research programs; and public service. Many of these items should be considered in considerable detail. For example, factors under the heading *Faculty* should include the following:

1. Faculty-student ratio
2. Distribution of faculty by rank
3. Tenure policy
4. Average faculty load
5. Activities other than instruction
6. Salary

The purposes and objectives should be stated in fairly concrete terms. The following hypothetical and incomplete list of objectives are stated only as illustrations:

The University will serve undergraduate, graduate, and public service requirements in a ratio of effort approximating 5:2:1.

Total enrollment will be maintained at a level of 15,000 students over the next ten years.

Faculty will be maintained and expanded to achieve a 1:12 faculty-student ratio with a teaching-research ratio of 2:1.

With provision for continuing review of the University's purposes and objectives, the University can maintain a periodically updated set of purposes and objectives, or evolve new ones as new conditions develop. The planning phase is an essential part of the program-budgeting cycle, and it must necessarily start with agreed-upon objectives. Therefore the President should appoint a committee—possibly in the way this Commission was appointed, after consultation with the Board of Trustees—to develop an initial set of purposes and objectives. The committee should be academically oriented and broadly representative. Once the purposes and objectives have been stated, their continuing review and updating will be provided by the mechanisms of the planning and programming cycle discussed in the next section.

Programming: The purpose of programming in this process is to articulate the plans as explicitly as possible. Program analysis makes explicit estimates of the costs and probable results to be achieved in each of the major programs of the University. Programming requires that alternative means of using the estimated resources of the University be assessed to determine the value of the contribution of each to the plans which have been agreed upon. The number and type of faculty, the number and academic levels of students, and the facilities required to permit students to pursue their objectives should be established by successive iterations of the programming process at the departmental and the school or college levels. These requirements should then be meshed with and made supportive of one another at the top level of the University.

THE PLANNING AND PROGRAMMING CYCLE

The activities of each department may be divided into two sectors: one concerned with teaching and research necessary for a student majoring in the discipline represented by the department; the other concerned with students majoring in another department. Thus, the chairman of a department will find it impossible to plan his own resource requirements without considerable understanding of the interdependences which exist between his department and all other departments.

The first level at which this interdependent use of resources can be reviewed is the dean's office. It then becomes necessary to raise the administrative level for comparison and resolution of competing requirements for resources to a central level. The attempt to rationalize all levels of the decision-making process is not an end in itself; it is a means to induce the participants to ask meaningful and rational questions concerning the allocation of resources rather than to present themselves only as users of resources. Therefore, the planning and programming

cycle should have an academic orientation. It is here that the ambitions and potential of the faculty and student sections of the University find their full expression. The process and those involved in it should then exhibit sensitivity to the interplay of departmental and program needs and expectations.

In general terms, the purpose of the recommendations involving the planning and programming cycle is to improve the budgetary process by providing for the evaluation of alternative uses of available resources in a systematic manner, thereby assisting the University in achieving its goals and objectives. At the same time, it will assist in defining those goals and objectives, in part by bringing into focus the fiscal constraints within which they must be viewed and in part by demonstrating the long-range impact of program commitments.

The planning and programming cycle results in a document which is here given the name *Provisional Development and Objectives Plan.* This document, which is basic to all further planning and budgeting, should provide the following benefits:

1. Basis for preparation of Annual Operating Budget
2. Basis for physical facilities planning
3. Identification of faculty and staff needs
4. Planning data for development and fund raising
5. Improved coordination of support services with academic departments

An Office of Planning and Budget would serve as the central functioning agency responsible for the operation of the total program budgeting cycle. The Commission recommends the establishment and staffing of such an office on a priority basis as an important step in improving the governance of the University. Further considerations, outlining a possible approach to the implementation of this proposal, are contained in Appendix A.

APPENDIX A

THE OFFICE OF PLANNING AND BUDGET*

The Office of Planning and Budget should report directly to the President of the University, and might properly consist of the staff positions of director, budget officer, assistant for academic planning, and assistant for plant planning and construction.

Its responsibilities are complex. They include the following:

1. Analyzing the program plans of all academic and support services departments using the following criteria:
   a. Responsiveness to University goals and objectives
   b. Consistency with University policy
   c. Economic feasibility and long-range economic impact
   d. Coordination of academic programs
   e. Coordination of support service plans with academic plans
   f. Consequences of alternative courses of action
2. Reviewing and revising the *Provisional Development and Objectives Plan* and appended criteria on the following bases:
   a. Response to revised program plans
   b. Changing economic patterns and constraints
   c. Response to long-range impact analyses
3. Proposing modifications of departmental program plans and preparing summaries incorporating these proposed modifications
4. Preparing operating budget information for use in the annual budget cycle
5. Coordinating the continuous planning process within the University
6. Preparing and distributing the annually revised *Provisional Development and Objectives Plan*
7. Representation on the Administrative Budget Committee
8. Soliciting and correlating inputs from a wide range of sources internal and external to the University community

The importance of the Office of Planning and Budget cannot be over-emphasized. In order for a program-budgeting system to be successful, it is essential to maintain a constant focus on the planning and budgeting cycle. In addition there must be a formal channel of communications so that the entire University community may participate in the process. This office should provide such a channel, by its central position in the structure and processes of planning, programming, and budgeting, as exhibited in the preceding paragraph.

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* As proposed by the Commission's Task Force on Fiscal Management, which was composed of Messrs. Brian L. Usilaner, Chairman; Sheldon S. Cohen; and Artley J. Zuchelli.

In discharging its responsibilities for planning, analysis, and coordination this office would perform the following specific functions:

1. To evaluate the economic feasibility of plans and programs
2. To determine whether program objectives are consistent with University goals and objectives
3. To determine whether programs of the various schools coincide properly
4. To determine whether conflicts exist between University policies and program plans
5. To determine whether alternative programs can be more effective in meeting objectives
6. To create the annually revised *Provisional Development and Objectives Plan*
7. To assure that the program plans throughout the University are supportive and contain an interdependent and effective mix of program elements
8. To take positive steps to ensure involvement of interested parties in all decisions

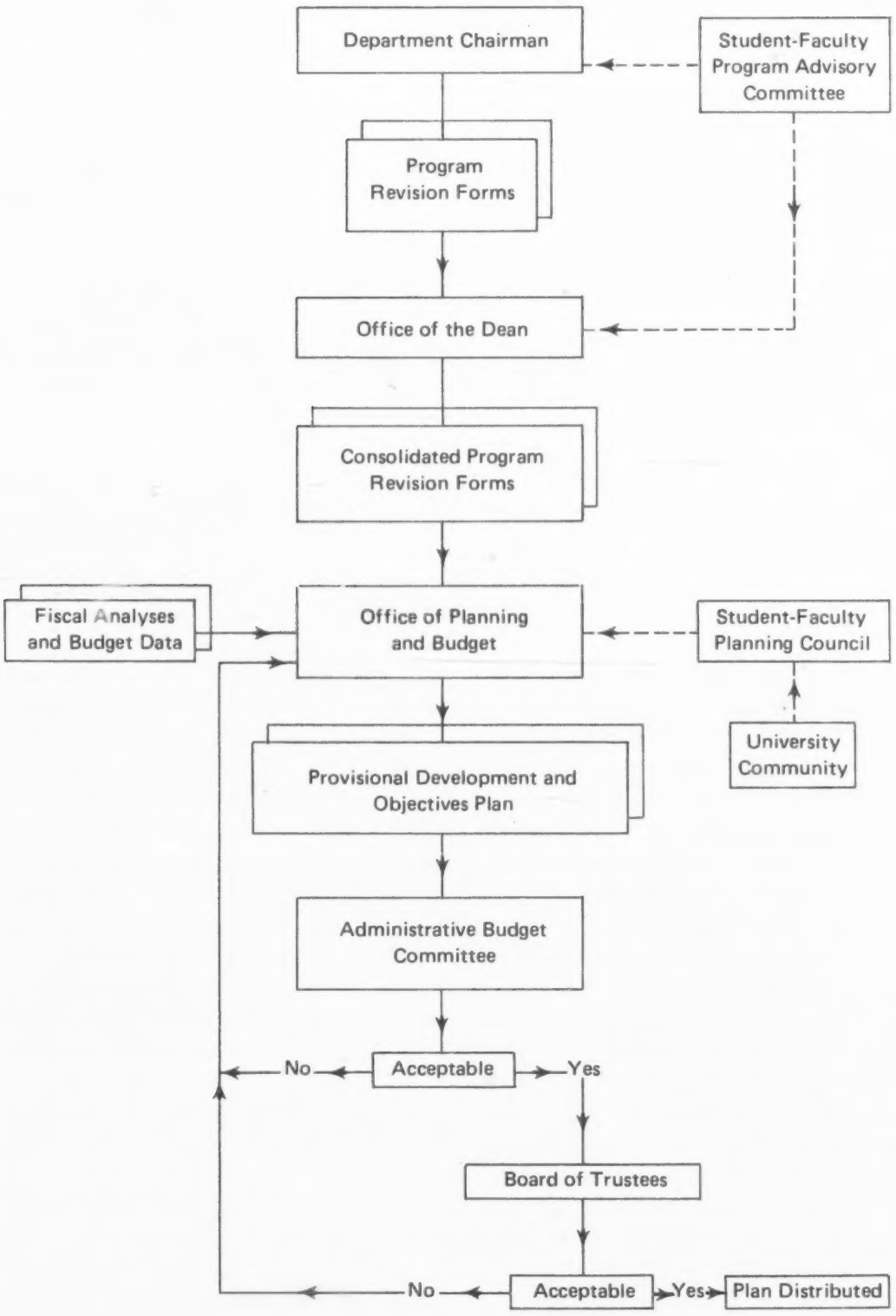
STEPS IN THE PLANNING-PROGRAMMING CYCLE

The flow diagram shown on page 46 will serve to illustrate the planning and programming cycle discussed in the preceding section. The flow pattern adopted in the process of implementing the system will be largely a matter of choice by the designer of the system; the example shown here is a simplified schematic suggestion of a suitable model. The diagram is largely self-explanatory when it is read in conjunction with the following specifications:

*1. **Student-Faculty Planning Council:*** This committee is composed of student, faculty, and supporting services representatives from the University community. To this council is entrusted the responsibility for advising the Office of Planning and Budget in the annual evaluation of University goals, objectives, policies, and programs. The council should consist of both elected and appointed members representing the University and should serve as a formal channel of communications from all members of the University to the Office of Planning and Budget. This council should consult as widely as possible, inviting and receiving suggestions on objectives and programs not only from other faculty, students, and employees within the University, but also, when desirable, from other universities and from professionals elsewhere.

*2. **Student-Faculty Program Advisory Committee:*** For each department a student-faculty committee should be appointed for the purpose of advising the department chairman on the development of department programs, plans, and objectives. The departmental advisory committees, recommended in the chapter

PLANNING AND PROGRAMMING CYCLE



on Participation, might perform this function; undesirable duplication of committee effort would thereby be eliminated.

*3. **Administrative Budget Committee:*** This committee, essentially the same as the present Budget Committee, consists of the following representatives:

The President
The Vice President for Academic Affairs
The Vice President and Treasurer
The Director of the Office of Planning and Budget
Other officers as the President may appoint

4. Fiscal analyses and data feeding into the Office of Planning and Budget should consist of such items as estimates of revenue, operating and program statistics, support plans from the Business Manager, and special cost analyses of various aspects of University operations. After final analyses, the Office of Planning and Budget assembles the *Provisional Development and Objectives Plan*, which will include the planning summary (long- and short-range), program plans, and the current statement of University goals, objectives, and policies.

The timetable for this cycle will depend largely on the length of time required to develop program plans at each level of the University. A suggested model timetable is shown on page 48 as an example, based on the assumption that the final budget action is taken by the Board of Trustees at its January meeting. The timetable may require revision in the light of experience with the logistics of the process. However, the proposed timetable places in context the relative magnitudes of the tasks involved.

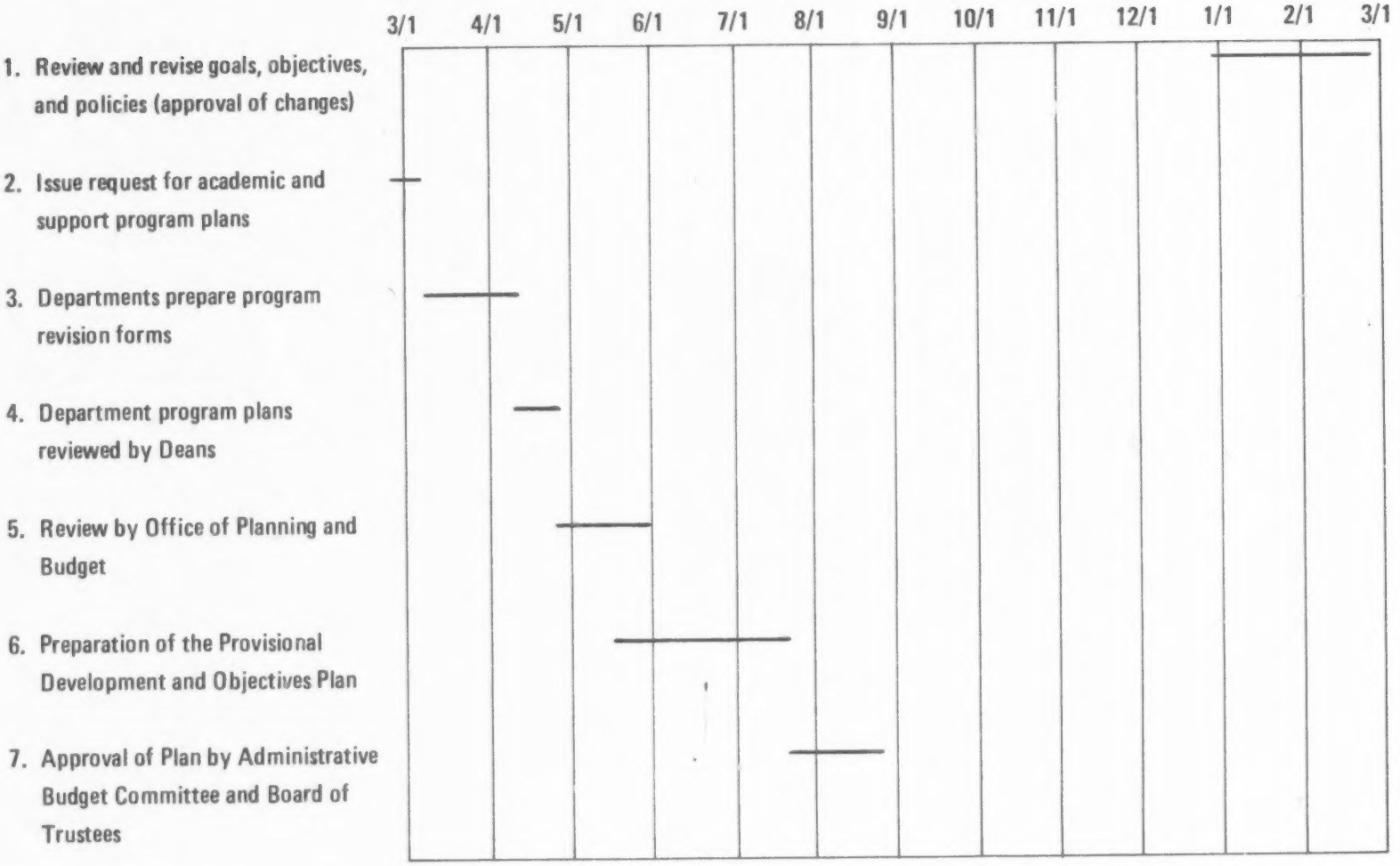
During the planning and progrmming cycle there should be constant feedback and recycling among the various entities represented in the flow diagram, to assure coordination and communication thoughout the process. The Office of Planning and Budget should be responsible for assuring that this is accomplished. The diagram shows the flow as if it were directed only from the department chairman toward the Board of Trustees. However, the direction of this flow can and should be reversed whenever necessary to assure complete and effective planning and programming.

THE BUDGET CYCLE

The annual operating budget can be defined as a plan of financial operation containing an estimate of proposed expenditures for a fiscal period and the proposed means for financing them. The basic principle of *program* budgeting is to derive and structure the annual budget in such a way that it reflects the annual portion of all major *programs* in the University, for it is the programs which promote the goals and objectives of the University. The emphasis is on the program rather than on a historically derived budget line item.

The *Provisional Development and Objectives Plan,* with appended criteria reflecting the outputs of the planning and programming cycle, should present to

TIMETABLE
THE PLANNING AND PROGRAMMING CYCLE



the Administrative Budget Committee a sufficiently detailed department-by-department set of criteria, recommendations, and alternatives so as to provide the framework for translating programs into costs. The budget cycle should then result in a final budget which effectively reflects the following constraints and goals:

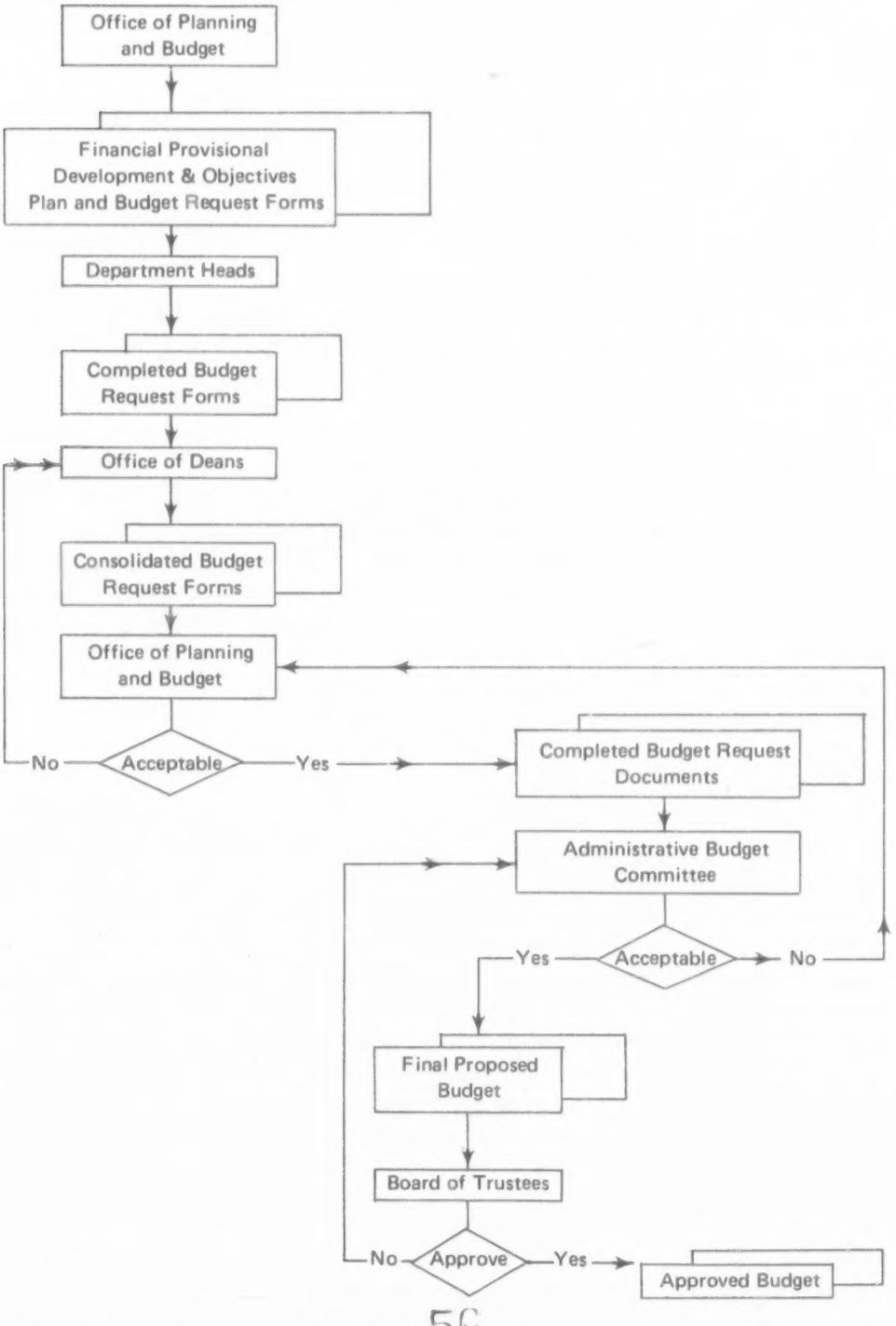
1. It conforms to the *Provisional Development and Objectives Plan* and its appended criteria.
2. It conforms to existing economic constraints imposed by income and fixed fiscal commitments.
3. It anticipates future patterns of costs in terms of commitments implied (including tenure requirements).
4. It effectively correlates programs, support services, and other diverse aspects of University operations.

The budget cycle itself can be viewed as the implementation, in financial terms, of the planning and programming cycle. It is thus based upon the results of the planning and programming cycle and will, therefore, be only as effective as the planning process. A suitable flow diagram for the budget process is shown on page 50 and one for the process of budget revision on page 51; these are based on the assumption that a one-year cycle affords enough time for the total process of planning and budgeting. The timetable will of course be affected by the required duration of the planning and programming cycle. A suggested timetable for the budget process is shown, as an example, on page 52. Operating experience may dictate changes in timetables. The budget cycle, like the planning and programming cycle, should make use of continuous feedback and coordination among the several levels.

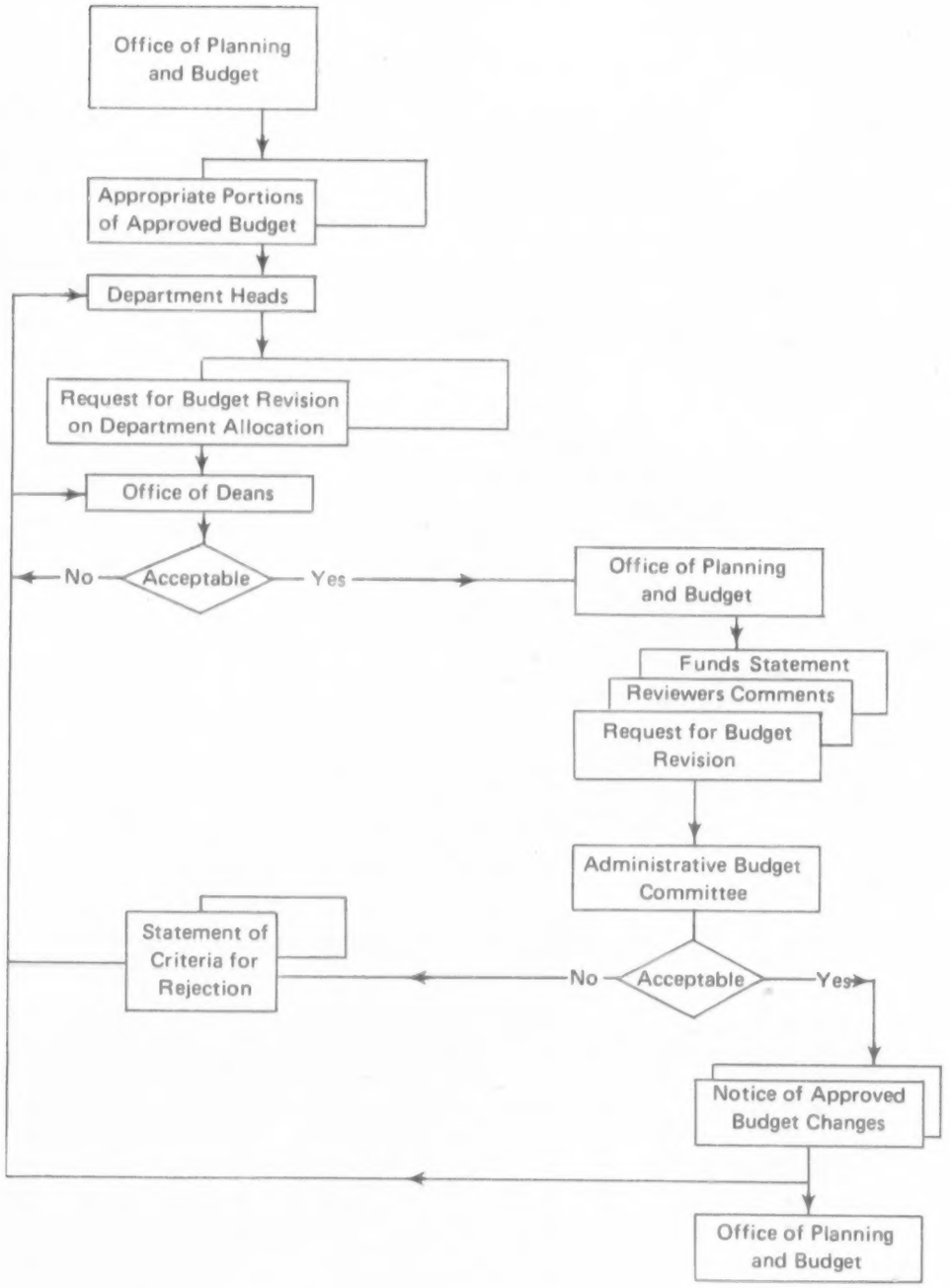
IMPLEMENTATION

This Task Force does not assert that organizational modification in itself is capable of solving complex administrative problems. At the same time, while it is convinced that the budgetary-managerial aspect of the governance structure is crucial to the institution's operations, and hence feels compelled to address itself to it in some detail, the Task Force likewise feels that it cannot and should not attempt to provide a complete planning-budgeting guide for the institution. The Task Force does feel the responsibility to outline a governance structure within which it feels an effective and analytically valid economic process can be expected, with proper guidance and expertise, to evolve. The central organizational entity which should be created to realize the planning-budgeting process is the Office of Planning and Budget. From the start it must be realized that the process of performing valid quantitative economic analyses of as complex a structure as a university requires both expertise and a full-time focus. It does not seem likely that a meaningful process will ever result unless the responsibility for realizing it is placed on such an office, suitably staffed and supported, along the

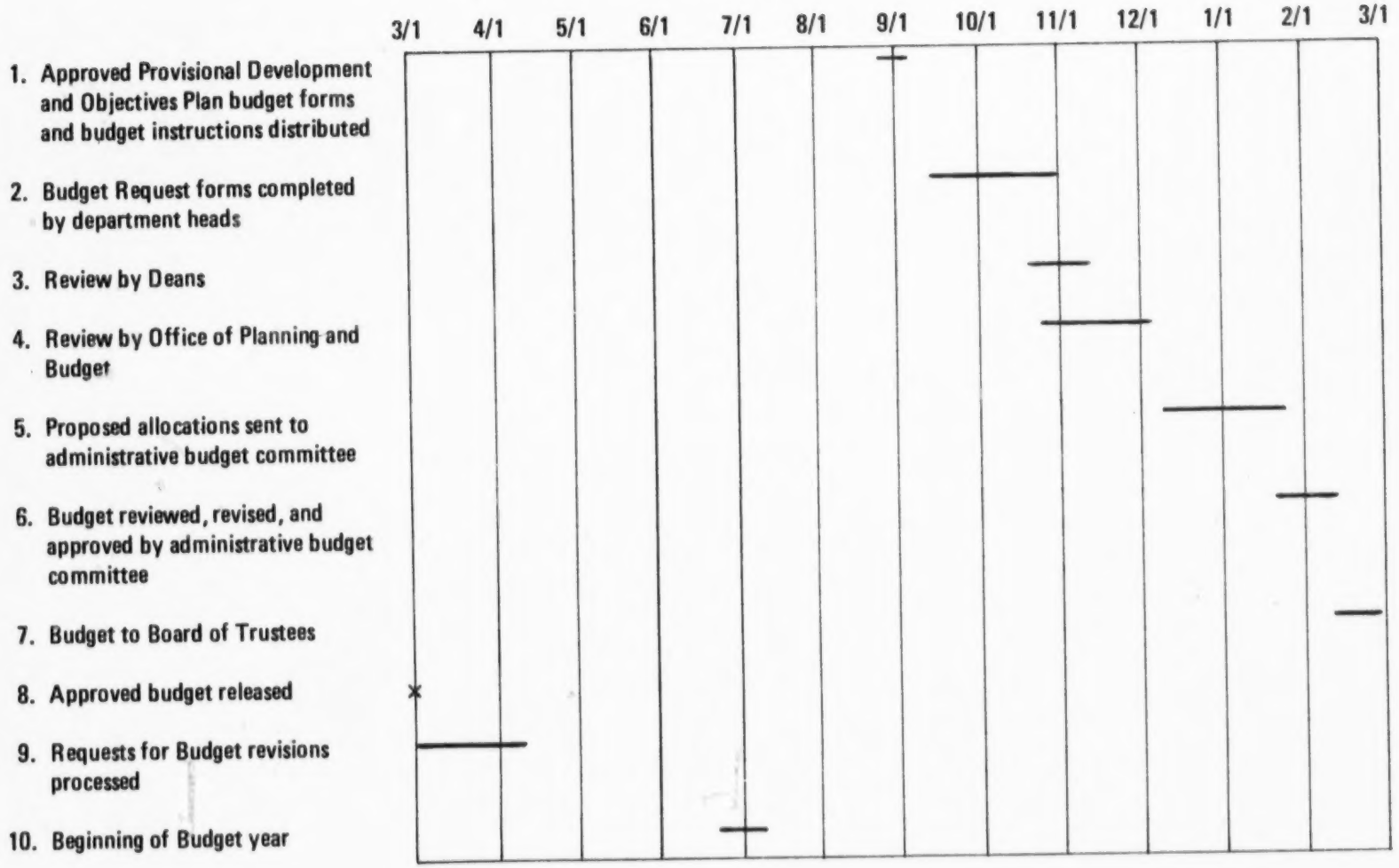
BUDGET CYCLE FLOW DIAGRAM



BUDGET REVISION FLOW DIAGRAM



TIMETABLE
THE BUDGET CYCLE



lines recommended. This office should in turn help the deans of schools and the department chairmen by providing orientation and assistance to them in carrying out their responsibilities.

This does not, however, necessarily imply a large staffing accretion; much of the staff can be drawn from existing personnel with redirection of their efforts and responsibilities. The Director of this office will play a dominant role in the evolution of the institution and should be viewed as a staff addition at a very high level; since his primary concern is the program structure of the academic institution, he should be academically oriented and possess expertise in economic analysis. It should be the task of this officer, rather than the Task Force, to develop the specific steps in the planning and budgeting process, to plan its implementation, and to perform the other functions necessary to make the program budgeting process meaningful.

Since fiscal management has a decisive impact on most operations, goals, policies, and plans of the University, the Task Force agreed to address itself to study of that area. But in discussing the issues it was not our purpose to design a total planning and budgeting system; this is a full-time job to be done by qualified experts. However, it was our purpose to point out certain deficiencies in the present budget system, to propose a basic structure for correcting those deficiencies, and to underscore the desirability of timely remedial action.

APPENDIX B

MEMBERS OF THE COMMISSION ON GOVERNANCE

Everett H. Bellows received his B.A. degree in 1939 and M.A. degree in 1941 from George Washington University, and served in numerous agencies and departments of the Federal Government for a number of years. He joined the OLIN Corporation (formerly Olin Mathieson Chemical Corporation) in 1954 and became Vice President in 1962.

David R. Berz was a senior in Columbian College of Arts and Sciences and Vice President of the Student Assembly at the time of his appointment to the Commission. He majored in religion, has been a member of the varsity baseball team, and has served on the Residence Hall Council Constitution Committee. He received his B.A. degree in 1970 and is now a student in the National Law Center.

Sheldon S. Cohen was graduated from the School of Government with a Bachelor's degree in 1950 and earned the J.D. degree from the Law School in 1952. The former Commissioner of the Internal Revenue Service, he is now in private law practice in Washington. He was graduated first in his Law School class, and now serves the National Law Center as Professorial Lecturer.

John Jay Corson received his B.S. degree in 1926, M.S. degree in 1929, and Ph.D. degree in 1932 from the University of Virginia. He taught at the University of Richmond and at Princeton University. He has served as Director of the U. S. Employment Service and has been a consultant to UNESCO and other international organizations. Mr. Corson is the author of several books, including *The Governance of Colleges and Universities,* written with Joseph P. Harris.

John B. Duncan received his B.A. degree from Howard University and LL.B. degree from Terrell Law School. He has been active in some 60 civic organizations in the District of Columbia over the past 25 years and has been honored with 75 testimonials, awards, and scrolls. At present he is General Consultant for Housing Development Associates.

Shelley R. Green was a junior in Columbian College of Arts and Sciences and Secretary of the Student Assembly at the time of her appointment to the Commission. She had served as President of the Women's Residence Hall Council which governs Thurston Hall. She also served as a member of the Student Relations Committee of the University Senate.

James P. Kilpatrick is a senior in Columbian College of Arts and Sciences, majoring in history. He has served as a member of the Student Assembly and of the Operations Board of the Marvin Center and has participated in other extracurricular activities, both local and national.

James J. Lyons earned his B.A. degree at George Washington University in 1969, and was a candidate for the Ph.D. degree in American Civilization at the time of his appointment to the Commission. As an undergraduate, he held a Board of Trustees Scholarship and was on the University Debating Team.

Dorothy Ames Marks received a Bachelor's degree from Columbian College of Arts and Sciences in 1940. She is a former newspaper woman, and has served as President of the Women's National Democratic Club. She has been a member of the Board of the Foreign Students Service Council and is a member of Columbian Women.

James M. Mitchell received his B.A. degree in 1932 and M.A. degree in 1933 from George Washington University. He has served as Commissioner of the U.S. Civil Service Commission, and as Associate Director of the National Science Foundation. He is currently Director of the Advanced Study Program at The Brookings Institution.

Neil Portnow was a senior in Columbian College of Arts and Sciences, majoring in speech, at the time of his appointment to the Commission. He was President of the Student Assembly and had previously served as Cultural Affairs Director of the Student Council, the predecessor organization to the Student Assembly.

David J. Sharpe, Professor of Law, received his B.A. degree in 1950 from the University of North Carolina and LL.B. degree in 1955 and S.J.D. degree in 1969 from Harvard University. He joined the University faculty in the fall of 1960. He has served on numerous committees of the Faculty Senate. He is co-author, with Dr. Murdock Head, of *Problems in Forensic Medicine.*

J. Dallas Shirley received his B.S. in P.E. degree in 1936 and M.A. in Ed. degree in 1945 from George Washington University. He is a former Head of the Department of Health, Safety and Physical Education for the D.C. Public School System and served as Principal of Gordon Junior High School from 1943 to 1968. He has taught at George Washington University and is currently President of the GW General Alumni Association.

Hiram M. Stout, Professor of International Affairs and Political Science, joined the University faculty in 1962. He received his B.A. degree in 1926 from DePauw University and his M.A. degree in 1931 and Ph.D. degree in 1934 from Harvard University. He served the U. S. Government consecutively in the Bureau of the Budget, the Department of State, and the Central Intelligence Agency. Before coming to GW, he taught at American University, the Naval War College, and Duke University. At GW, he was Dean of the School of Public and International Affairs from 1967 through June, 1969.

Brian L. Usilaner is currently a D.Sc. degree candidate in the School of Engineering and Applied Science. He received his B.S. degree in 1962 and M.I.E. degree in 1963 from New York University. He has worked as an industrial engineer for the Naval Ordnance Laboratory, as a project engineer for the Naval Facilities Engineering Command, and in the Executive Office of the President (Office of Management and Budget).

*Carl H. Walther received his B.E. degree in 1931 and M.C.E. degree in 1933 from Johns Hopkins University and his Ph.D. degree in 1967 from the University of Maryland. He began teaching at George Washington University in 1939, became Professor of Civil Engineering in 1948, and since 1962 has been Professor of Engineering and Applied Science. Currently, he is Assistant Vice President for Academic Affairs of the University.

Reuben E. Wood, Professor of Chemistry, served three terms as Chairman of the Executive Committee of the University Senate. He received his B.S. degree in 1936 and his Ph.D. degree in 1939 from the California Institute of Technology and his M.S. degree in 1937 from the University of Chicago. He has taught chemistry for more than 24 years at George Washington. He has served as Assistant Director and as Director of GW's training programs for Peace Corps trainees headed for Nepal.

Artley J. Zuchelli, Jr., Professor of Physics, studied at the University of Virginia, where he received his B.A. and Ph.D. degrees. From 1959 to 1963 he taught at the University of Mississippi as Associate Professor of Physics and came to George Washington University in 1964. He has served as a member of the Educational Policy Committee since 1965, and as Chairman of the Committee since 1966.

*Ex officio member.